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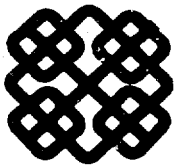

A Manual for Socio-Economic and Gender Analysis:

Responding to the Development Challenge

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ECOGEN

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Barbara Thomas-Slayter
Rachel Polestico
Andrea Lee Esser
Octavia Taylor
Elvina Mutua

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About the Authors

The SEGA manual grows out of the collective experience in processes of community change among the five co-authors, extending over many years. It draws, as well, on the work of colleagues around the world who share our interest in community change.

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Barbara Thomas-Slayter is a professor at Clark University and director of the International Development Program. She has carried out research in rural communities in Kenya, Zimbabwe, Nepal, Bangladesh, and The Philippines. Dr. Thomas-Slayter has a long association with Oxfam America, an organization committed to social and economic justice, and to building self-reliance, sustainable livelihoods, and empowered communities.

We hope that our combined community activism, teaching, organizational experience, and involvement in policy are reflected in valuable ways in this manual. We invite you, the reader, to draw upon your own experience in adjusting the ways in which the manual is used. And we invite you to add to our collective knowledge and insights for future revisions.

ACRONYMS

ADA	Association of Development Agencies
ADRA	Adventist Development and Relief Agency
CAP	Community Action Plan
CCC	Caribbean Conference of Churches
CDRC	Citizen's Disaster Response Center
CPDC	Caribbean Policy Development Centre
DKSS	Demotoluwa Women's SANASA Society
DWNP	Botswana Department of Wildlife and National Parks
GIS	Geographic Information Systems
ICRW	International Center for Research on Women
IIED	International Institute for Environment and Development
LCDE	Leyte Center for Development
NGO	Non-Governmental Organization
PhilDHRRA	Philippine Partnership for the Development of Human Resources in Rural Areas
PRA	Participatory Rural Appraisal
SARTHI	Social Action for Rural and Tribal Inhabitants of India
SWOT	Strengths, Weaknesses, Opportunities, Threats
SWRC	Social Work and Research Centre
UNCED	UN Conference on Environment and Development
WCARRD	World Conference on Agrarian Reform and Rural Development(1968)

Introduction

The authors of **A Manual for Socio-Economic and Gender Analysis: Responding to the Development Challenge** hope that both development professionals and the residents of local communities in the North and the South will find our approach valuable for addressing constraints to equitable, effective, and sustainable development. We focus on the disadvantaged among us, hoping that socio-economic and gender analysis (SEGA), will contribute to building capacities and empowering those who seek livelihood security, basic human rights, and opportunity to participate more fully in their own society.

The manual has five sections:

The SEGA Approach: An Overview
Part I A Conceptual Framework
Part II Participatory Strategies and Tools
Part III Scenarios
Part IV Measuring Effectiveness

The **Overview** clarifies the main elements of the SEGA approach and introduces the model in an abbreviated format. It is a good place to get "the bird's eye view."

A Conceptual Framework opens with a discussion of the rationale for the manual, the development challenge, and some specific ways in which the authors hope that this manual will be useful both to development professionals and to local communities. It defines terms such as development, empowerment, participation, or stakeholders, as they are used in the manual. It presents and illustrates the SEGA approach through its application to SARTHI (Social Action for Rural and Tribal Inhabitants of India), an Indian organization which works with tribal women. The discussion of SARTHI builds the model, piece by piece, giving the reader a practical application of the SEGA approach.

Part II, Participatory Strategies and Tools, offers 40 tools and strategies for socio-economic and gender analysis. These tools focus on a) organizing strategies; b) gathering information and raising awareness; c) identifying priorities; d) assessing needs; e) planning and formulating projects; and f) strategizing for change. Strategies and tools are accompanied by instructions for using them and examples of their implementation. Many of them grow out of experience with participatory rural appraisal and other participatory methodologies, which we have now linked to our overall objective of socio-economic and gender analysis.

Part III, Scenarios, provides ten examples of a broad range of development activities in different settings around the world. These short case studies demonstrate different kinds of

development issues, as well as organizations in action, such as the Caribbean Policy Development Center (CPDC), the Sri Lankan Thrift and Credit Cooperative Society (SANASA) or the Atlantic Center for the Environment. Each scenario comprises several parts: 1) a definition of a specific problem or issue; 2) a description of background information on the situation; 3) actions taken to address the situation; 4) examples of tools from Part II which might be useful in a similar situation; 5) an analysis of the problem in the context of the SEGA approach. A small-scale diagram of the SEGA model accompanies each scenario, highlighting elements of the model that relate to the particular case. Development professionals can adapt these scenarios as needed to their specific situations.

Part IV, Measuring Effectiveness, suggests ways to clarify goals and objectives and to measure outcomes. It suggests indicators for determining program and project effectiveness. These indicators are designed for sensitivity to the SEGA approach. Much has been written about monitoring and evaluation. We do not intend to replicate the literature, but rather to suggest some specific ways to measure effectiveness which are in keeping with our objectives in carrying out socio-economic and gender analysis. The development professional and the community may wish to add to this collection.

Notes and bibliography are located at the end of the section in which they were used or in which the reference appeared.

We hope that **A Manual for Socio-Economic and Gender Analysis** will prove useful on a number of levels. For policy makers the SEGA approach offers a fresh conceptual framework for thinking about sustainable development and how to achieve it. For program and project organizers, it offers a conceptual framework for analyzing specific programs and projects and for measuring their effectiveness against some different - but essential - criteria. For the community organizer and project manager, it provides some participatory tools which are effective in reaching priority groups within the community as well as a set of objectives focusing on capacity building and empowerment. For all involved in development work, the scenarios provide the experience of respected organizations which should enable each of us to think about our own "intractable problems" with fresh insight and perspectives.

The SEGA Approach: An Overview

Rationale

Those who live in the poorest communities whether of South or North, and those who work with the disadvantaged residents of any community, are well aware that processes of socio-economic change do not necessarily improve their lives, their livelihood security, the environment in which they live, or their access to health, education and basic human rights. In fact, in many corners of the world, these very conditions are deteriorating. The SEGA approach focuses on priority groups, those who are most disadvantaged within society, and seeks to find ways to enable these groups and the organizations that would work with them, to address their needs and concerns within a broad framework of social change.

A fundamental premise underlying the SEGA approach is that building the capacities of the most disadvantaged groups within society is central to increasing productivity and equity, as well as sustainable development. Thus, the SEGA approach conceptualizes community change in new ways. It makes socio-economic and gender analysis central to the processes of securing effective development.

Analysis from the data-gathering and project-organizing components of SEGA feeds into the policy process linking the more general elements of policy with the concrete realities of local experience. Moreover, the SEGA approach demonstrates the critical linkages among community members, development practitioners, and policy makers. It establishes a framework linking socio-economic and gender analysis with participatory methodologies as a means for achieving equitable and sustainable development for all members of society.

Purpose

SEGA provides development professionals, working as planners, organizers, educators, project managers, or community catalysts, with the concepts and tools to facilitate local empowerment and capacity building and to make their work both more effective and more appropriate to the needs and interests of local people. It enables a development professional to conceptualize social and community change in new ways by a) encouraging him or her to visualize the interconnected processes of environmental, social and economic

change and b) clarifying the relevance of social factors (i.e., class, caste, gender, age, ethnicity and religion) in determining access to and control over resources. The SEGA approach encourages the development professional to analyze social relations. When he/she understands the relationships among people, social structures, and resource bases, it becomes possible to work with a community to change the conditions that hinder development.

For the community, the SEGA approach facilitates community involvement in the conceptualization, planning and implementation of projects, offering an ongoing process of mobilization and organization that helps to reshape the community itself through use of specific tools for community organizing, data gathering, consciousness raising, and project formulation. People's participation - both women's and men's - is both a method and a goal for SEGA.

Assumptions

The SEGA approach is based on several key assumptions:

1. Social hierarchies exist in every society and often favor the few and disadvantage the majority;

2. These hierarchies are embedded in social institutions which are designed to perpetuate them through control over the environmental and socio-economic resource base;

3. Social equity - including gender equity - can enhance livelihood security, productivity and sustainability because it involves all members of a community in building their capacities for their own development.

Transforming Inequitable Relations

SEGA identifies five important elements in transforming inequitable relations both globally and locally.

- **Organization.** One of the ways disadvantaged groups can become empowered is through organizing. While there is a residual strength in the numbers of the disadvantaged, they often do not realize the power of collective action.

- **Education and training.** Learning by doing, learning by solving problems, learning by reflecting on actions are effective ways to to help a group organize around issues and common concerns.

- **Access to and control over resources.** Mobilizing local resources for action is a first step in achieving more equitable distribution of the broader society's resources.

- **Policy changes at the macro-level.** Development policies must put people at the center of the development process, with economic growth as a means and not an end, and with respect for the natural systems on which all life depends.

- **Local-to-global linkages.** One way to strengthen local groups is to build linkages, among a broad range of institutions through coalitions, alliance-building, and networking for creating a more equitable and just future.

The SEGA Model

The Sega model consists of both structures and conditions, as noted above, and processes or interventions, which represent "opportunities" for bringing about change. These opportunities include: empowering people locally, utilizing macro-level enabling mechanisms, and linking top-down and bottom-up initiatives. (Constraints are clarified in the discussion of equitable and sustainable development and the chart on pp. 18-19). Components of the model shown on p. 5 are elaborated below.

Structures and Conditions

- **Individuals.** At the center of the model are individuals characterized by gender, age, ethnicity, class, caste, race, religion or other salient variables. They are noted on the diagram by the symbols for men and women. The SEGA approach takes into account relations within households among its members.

- **Households.** Individuals live and work within households with distinct characteristics. SEGA examines relations among households, recognizing, for example, that a poor but high status Brahmin household in rural Nepal may have access to resources that a more affluent but lower status Tamang household does not. It takes into account the ways in which different characteristics can enhance or diminish the household's position in society.

- **Social institutions.** The third band of the model consists of those institutions and organizations through which the economy, politics, religious, legal, educational and other common functions of society are carried out. It is through these institutions that groups negotiate social relations.

- **The environmental and socio-economic resource base.** Relationships of authority and subordination within society are determined, in part, by who has access to and

control over resources. These include natural or environmental resources as well as the social and economic resources created by households and social institutions.

Processes and Interventions

- **Local interventions for empowerment.** These initiatives occur at the local level and include consciousness raising, organizing, education and training.

- **Macro-level mechanisms.** Enabling mechanisms are external to a community, and include innovations such as funding opportunities, policy changes, or new North-South or South-South coalitions.

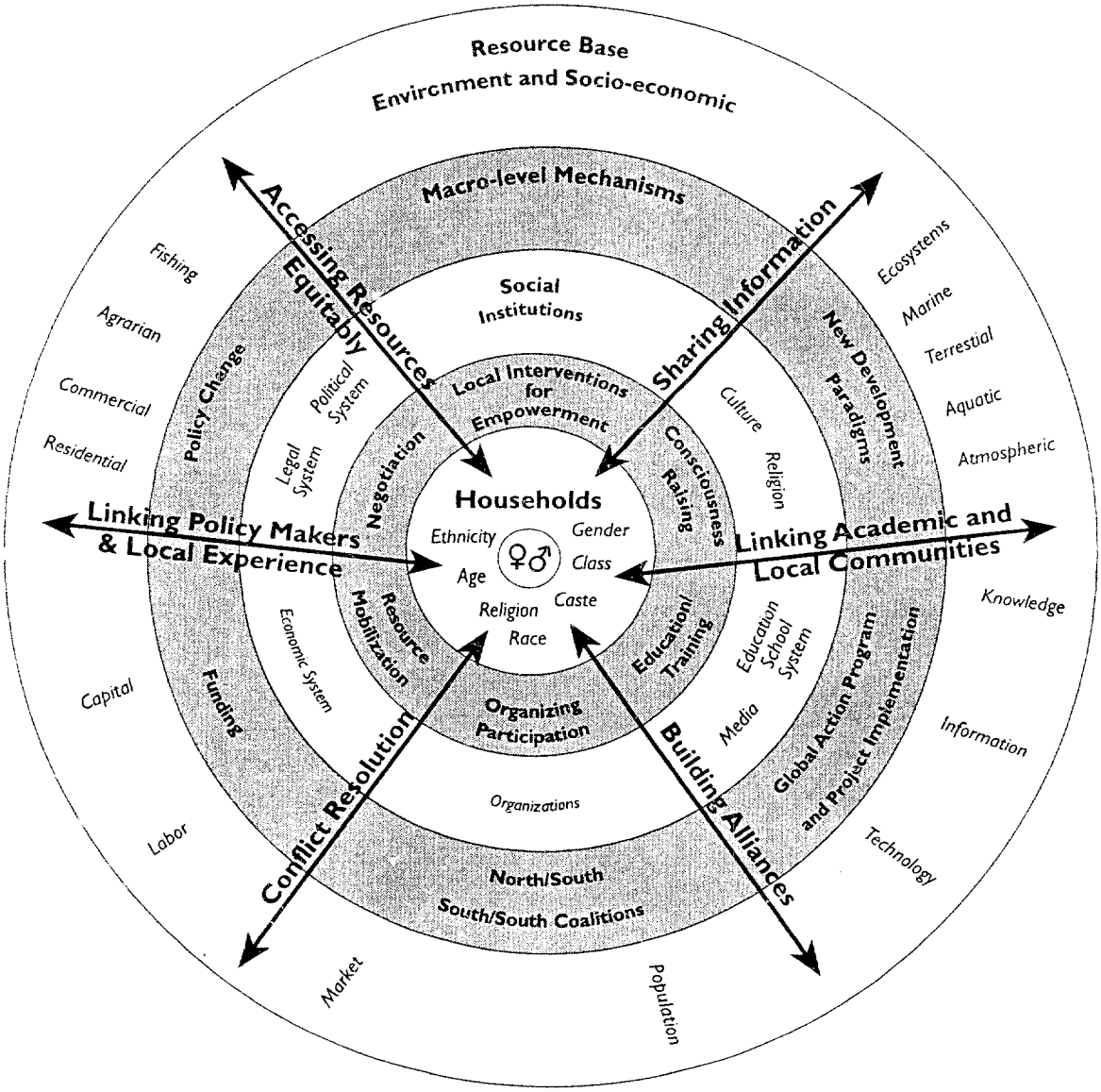
- **Linkages and networks.** Linkages and networks constitute a bridge between external opportunities and local initiatives. They include examples such as international donor support for a small farmers' development program, a local church organization's access to Amnesty International, or the impact of the UN Conference on Environment and Development (UNCED) on national and local initiatives for the semi-arid regions of Africa.

The SEGA approach for project formulation and planning

The SEGA approach emphasizes both critical information needs and the types of interventions that can encourage equitable and sustainable development. It uses secondary sources of information to inform project design. Work with the community involves participatory methods in order to clarify social relations, identify disadvantaged groups and bring all stakeholders into development planning. For the SEGA approach it is important to mobilize local resources, along with those needed from outside the community. SEGA documents processes occurring at the local level for use by policy makers and planners outside the locality and evaluates the impact of the project in a systematic and participatory way including all stakeholders. These components (detailed in Part I, pp. 26-29) enable community members, particularly disadvantaged groups, to build capacities for participating in processes affecting their lives, livelihoods, and environments.

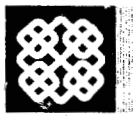
The SEGA approach aims to transform structures which perpetuate injustices and inequities. It emphasizes that building capacities and empowering the poor and disadvantaged fosters local ownership of development processes and encourages individuals to manage and control resources effectively. Empowerment enables disadvantaged groups to influence the larger systems that affect their lives. It is essential for increasing not only equity, but also long-term productivity and sustainability.

Figure 1.1. Overview of the SEGA Model: Processes Needed to Suppport Equitable and Sustainable Development



Elements of the Model

The model consists of light and dark concentric bands which are linked by radiating arrows. The light bands represent existing structures (individuals, households, social institutions, resource bases) that produce and reproduce inequities. The dark bands (local-level empowerment/participation, and macro-level mechanisms for change), and the dark arrows (linking external opportunities and local initiatives) represent the processes and interventions that can alter the problematic conditions and structures.



Part I Socio-Economic and Gender Analysis (SEGA): Conceptualizing Community Change in New Ways

A Rationale for the SEGA Manual

What is the development challenge?

The challenge of development is to address the factors of impoverishment and to transform them in ways which enable people to become aware of their situation and empowered to act. Given this challenge, local communities, as well as development analysts and policy makers, search for alternative paradigms for building sustainable ways to enhance the quality of life. Increasingly these paradigms emphasize decentralization, democracy and diversity. They value local ways of knowing while rejecting trends toward centralization, authoritarianism, and homogenization. They emphasize diverse options and actions, rather than standard solutions.[1]

Participatory methodologies which take as their starting point a commitment to social and economic justice, as well as empowerment, are central to meeting this challenge.

Participatory methodologies which take as their starting point a commitment to social and economic justice, as well as empowerment, are central to meeting this challenge. People-centered or transformative participation focuses on issues of power and control. It is concerned about the nature of the society in which programs and projects are developed, not simply the technical and managerial aspects of organizations and participation in them. From this perspective, participation is about power, and particularly about an increase in the power of the disadvantaged. It requires a capacity to identify the weaker and worse off and to empower them through shared knowledge and the experience of action.[2]

In response to the search for alternative paradigms, the Food and Agriculture Organization of the United Nations, the United States Agency for International Development, and the International Development Program of Clark University have cooperated in producing this manual for Socio-Economic and Gender Analysis (SEGA). SEGA draws on Participatory Rural Appraisal (PRA) and specifically the work of Robert Chambers of Sussex University, Richard Ford and Barbara Thomas-Slayter at Clark University, and Charity Kabutha, formerly with Kenya's National Environment Secretariat and UNICEF and currently with Winrock International.

PRA is a cross-disciplinary, cross-sectoral approach to engaging communities in development through interactive and participatory processes. PRA builds on the techniques of Rapid Rural Appraisal pioneered by Gordon Conway and Robert Chambers at Sussex University's Institute for Development Studies. In addition to those at Clark and Sussex, other groups, such as the World Resources Institute and the International Institute for Environment and Development IIED) have used and adapted PRA techniques in a number of countries around the world for environmentally sound development planning by local communities.[3]

PRA involves rural communities in their own needs assessment, problem identification and ranking, strategy for implementation, and community plan of action.[4] It utilizes a wide range of tools, often within a focus group discussion format, to elicit spatial, time-related and social or institutional data. A formal integration of SEGA with participatory methodologies for community action is a key step in long-term capacity building and empowerment for both development agencies and the rural communities they intend to serve.

What is "people's participation"?[5]

Passive participation: one-way communication of information from a sponsoring agency to members of the community. This kind of participation is:

1) **easily manipulated by local leaders to build patronage;**
2) **promotes dependence rather than self-reliance.**

Reactive participation: more involvement than noted above, but it is usually controlled by the external development agent. There may be donations of labor, money or other resources. With reactive participation:

1) **initiative lies with the outside party;**
2) **rarely are there ongoing forms of community organization and over time the activity dissipates.**

Active or full participation: arises within a community and community members themselves are the agents of change though they may act in concert with outside sources of funds, technical expertise or other resources. The advantages of this form of participation are that:

1) **leadership and initiative are taking place within the communities;**
2) **grassroots organizations often arise through general community mobilization.**

Underlying SEGA is the basic premise that all social relations, and specifically gender, are important variables in the development process.[6] SEGA's purpose is to provide development agents, working as organizers, educators, catalysts, or planners, with communities of both the South and North, with the concepts and tools to facilitate empowerment and to make their work both more effective and more appropriate to the needs and interests of local people.

Definitions

Sex: A biologically determined set of differences between women and men.

Gender: The social position and relations of men and women as constructed by society. In many societies around the world women have a systematically inferior position both inside and outside the household and are relatively deprived vis-a-vis men.[7]

Class: The differential positioning of individuals, households, groups, and communities to economic opportunity, political power, and the physical and social resources of society. Both class and gender are basic relationships of power and dominance that structure the development process itself.

Linking Gender and Development: Transforming the development process to reflect the needs and interests of women as well as men at all stages.

What is different about this manual?

Five characteristics make this manual different from others.

Draws on experiences from the South. The SEGA manual has its origins in the experiences of communities of the South. It draws on the knowledge, skills and experience of diverse groups to build a model of social change pertinent to understanding the dynamics of local communities around the world. It offers problem scenarios abstracted from real grassroots situations which the reader can compare to his or her own circumstances in order to visualize more fully the options for change.

- **Links local community and policy makers.** The manual translates the experience of the local community in terms that can be used to inform the decisions of development policy makers. The tools in Part II organize data gathering in ways to elicit the priorities, problems and opportunities found at the local level. This information then feeds into the policy process linking the more general elements of policy with the concrete realities of local experience.

- **Offers a new approach.** The manual offers an approach to development shaped and strengthened through the reality of local experience. It identifies five key elements for transforming inequitable relations, using the SEGA model to analyze the experience of SARTHI, Social Action for Rural and Tribal Inhabitants of India, an NGO working in Panchmahals District of Gujarat State in Western India.[8]

- **Builds linkages among all stakeholders.** The manual brings into a single focus the viewpoints and concerns of members of local communities, practitioners, policy makers, and academicians. It demonstrates the critical linkages among the actors in these arenas.

- **Links socio-economic and gender analysis with participation.** The manual links socio-economic and gender analysis with participatory methodologies as a means for achieving full and equitable participation of all members of society.

Clarifying Terms

Stakeholders

The term "stakeholders" includes all those with a "stake" in the outcome of a project. Among the stakeholders would be the villagers (both the beneficiaries and those who might stand to lose if the project is implemented) the development agent or team, the funding agencies, and the officials who may be affected by the project.

Development Professionals

The term "development professionals" encompasses a broad category of individuals working on various aspects of policies, programs and projects to bring about economic and social change, justice, and equity within local communities and among regions and nations.

How will this manual help development professionals?

The SEGA manual is designed to help the reader understand social and community change, identify tools for facilitating change, adapt relevant scenarios to the local situation, and determine specific indicators of effectiveness. This section offers a model for bringing about social change and, specifically, for empowering priority (particularly disadvantaged) groups at the local level.

Part II offers approximately 40 tools which are useful for socio-economic and gender analysis. These tools draw from a wide variety of sources and offer a step-by-step set of procedures for their use. Part III provides specific problem situations or scenarios from a variety of governmental and non-governmental organizations which demonstrate the possible use of tools in different contexts in real situations around the world.

Part IV suggests ways to measure effectiveness and provides some indicators for determining the success of development interventions. This section suggests ways the community can define the changes that are desirable and match these changes with standards for measuring people-centered, participatory, inclusive, gender-sensitive and environmentally sound change.

How will SEGA help local communities?

SEGA is an approach to development that seeks to counter the trend toward community fragmentation as well as social and economic polarization. It helps people at the grassroots level to make measurable progress in improving their own lives through a process that builds unity out of diversity and enables them to continue capacity building on their own initiative. SEGA is an approach that puts people first, especially less advantaged groups, with a focus on women. SEGA places oppression alongside poverty as social evils to be overcome, not simply alleviated. SEGA helps community members, especially the disadvantaged, to engage in the identification and analysis of a problem, an activity which takes specific tools and a grasp of context - local, regional and sometimes even global - to be effective.

The SEGA approach facilitates community involvement in problem analysis and the planning, planning and implementation of a solution, but it does not stop there. SEGA offers an ongoing process of mobilization and organization that helps to reshape the community itself through use of specific

SEGA is an approach that puts people first, especially less advantaged groups, ensuring that women play important roles in the process.

tools for community organizing, data gathering, consciousness raising, and project formulation. People's participation - both women's and men's - in all these processes constitutes both a methodology and a strategic goal of development.[10] Participatory methodologies signal a development partnership among all stakeholders involved. The SEGA manual can help initiate, organize, and build this process.

Clarifying Terms

Disadvantaged groups[9]

The term "disadvantaged groups" includes individuals and groups that are marginalized along dimensions of class, gender, ethnicity, age, or some other attribute. In specific contexts it may refer to individuals belonging to particular castes, those who are sick or unemployed, the old or the very young, single parent families and so forth. In this manual we use the terms disadvantaged, poweriess, marginalized, the poor, and priority groups interchangeably. We recognize that the meanings of these terms are distinct, but we believe that the use of these terms as alternatives is justifiable for the purpose of denoting a group of people who lack opportunities (and perhaps incentives) to improve their existing conditions.

Community

The term "community", as used in this document refers to a social group of varying size whose members reside in a specific locality, share common rules and have common interests and perceive themselves as distinct in some respect from the larger society in which they live. Community refers to neighborhoods, villages, towns or the locality in which distinct groups have common concerns. Boundaries are often fluid and defining a specific community can be complicated.

Development

Development is defined in almost as many ways as there are people defining it. This manual draws from Dennis Goulet's discussion in *The Cruel Choice* to emphasize not only life sustenance or basic needs, but also self-esteem, freedom from ignorance, fear, and repression.[11] Development, in this sense, means capacity-building, expanding one's ability and energy to bring about change at an individual, community, national, or global level. It addresses equity or distributional issues so that increasing development and increasing productive capacity mean broadening levels of well being for many people, not just a few.

Toward Equitable and Sustainable Development

Development necessitates empowerment, gaining some leverage for the poor and disadvantaged so that inequitable political and economic relationships can be transformed. But transformation is not easy, and not without risks. As we address social as well as economic goals, class, gender, caste, kinship, age, religion, race and ethnicity, among other attributes, all become important considerations. Within most communities these categories frequently mark significant divisions of unequal access to power and material resources. These social variables shape the flow of resources determining who benefits and who does not.

By acknowledging that some groups stand to lose or gain by processes of change, we also acknowledge that development that is designed to transform power relations entails some risks. Risks may pose threat to program success or, more seriously, may endanger people working for change. Development agents and community residents must carefully weigh and consider the potential dangers posed by their activities.

Development should, by definition, include secure human rights and respect for ethnic, religious and other differences. Therefore, development requires attention to process. Political processes which allow people to express and resolve their conflicts are essential. Building these processes requires clear understanding of the various stakeholders and the ways in which they can be effectively engaged in community change.

The development process addresses equity or distributional issues. Increasing development and increasing productive capacity mean broadening levels of well being for many people, not just a few.

Development also requires sustainability, a long-range concern for the future, a concern about resources and environment. The term "sustainable development" refers not only to economic development based on a sustained yield of renewable resources, but also to a process of social change which secures human welfare while maintaining the natural resource base. "Development that is not sustainable is a contradiction in terms. Sustainability has four dimensions: social, economic, political, and environmental. The

greatest threat to sustainability is widespread poverty derived from the inequitable distribution of resources and from the relations which give rise to this inequitable distribution."[12] These relations include issues of resource access and use within and between groups around the world. The success of sustainable development is measured by actual improvements in the quality of people's lives across social, economic, political, and environmental dimensions.[13]

For several decades, public conferences, documents and reports have been defining sustainable development. Despite numerous international reports and agreements proclaiming the need to address environmental and social problems holistically, progress is limited. However, a more inclusive, people-centered, holistic, equitable, gender-sensitive, participatory and environmentally-sound vision of development is emerging. It grows out of discouragement with the pace and nature of "development as usual." People everywhere increasingly recognize that local experience and perspectives must inform social change. Involvement of all sectors is essential, including less advantaged groups, and, in particular, women. To create a dialogue involving all stakeholders, development practitioners must differentiate men from women, the poor from the rich, the elite from the common people, the leaders from the followers, local capacities from external impositions, and short-term exploitation from long-term sustainability.

The obstacles to equitable and sustainable development are numerous, but so are the opportunities for change. For example, violations of human rights occur in many ways, often through gender or ethnic bias or adherence to other inequitable roles ascribed through cultural norms and reinforced through economic constraints. Such conditions can be addressed through consciousness-raising and training, grassroots organizing, access to information and media, clarifying power structures, and seeking legal changes.

Equitable and sustainable development requires respecting local knowledge, addressing inequitable power relations, recognizing livelihood interconnectedness, and acknowledging the need for concerted action which respects all people's needs and rights. The SEGA model further clarifies these obstacles and the relationships among them as suggested in Table 1.1, pp. 18 and 19. It suggests strategies for change and alternatives for action.

Effective Empowerment: The Key to Achieving Equitable and SustainableDevelopment

This manual places a priority on empowerment of less advantaged people, with special attention to women. This emphasis grows out of lessons learned from the failures of top-down, externally-driven forms of development which have led to neither sustainability nor equity.[14] Empowerment may be defined as generating or building capacities to exercise control over one's life.[15]

Empowerment can take place individually or collectively. It requires knowledge of existing and potential possibilities, as well as how to obtain the resources needed to achieve a goal. Individuals, through their experiences and through consciousness-raising and training, can analyze their personal situation and their position within the immediate community. They can also learn how to mobilize their resources for change.

Individual and group empowerment may be closely intertwined. In economic, social and political terms, empowerment brings about measurable changes in who holds power and how it is exercised. A significant measure of empowerment is the knowledge members of a community have about mobilizing their own resources for their own vision of development. Empowerment is central to the process of building equitable and sustainable development because it is directly linked to both social and economic equity and to resource access and use.

Empowerment may be defined as generating or building capacities to exercise control over life conditions, individually or collectively.

The process of empowering communities

Inspired by the works of scholar/activists such as Paolo Freire or E. F. Schumacher, in the last two decades analysts have looked closely at participation and at local-level organizations to ascertain what they can contribute to the development process, whether in national and international "mainstream" initiatives or local strategies.[16] Studies based on a people-centered approach to development have shown that empowerment can mobilize local knowledge and resources to solve community problems.[17] Analysis further documents a strong association between development sustainability and local involvement.[18]

A focus on local organizations, and both the men and women in them, is critical to address ecological decline and restore both productivity and sustainability to rural communities. Observers have found, time and again, that project performance is better and sustainable development more likely to occur when local residents identify needs, and design and implement programs for their own community.[19] Efforts to engage local residents nevertheless run the risk of neglecting the poor, the marginalized, and the powerless who may be "invisible," inaccessible, and silent as well. Where organized, their voices may still be muted by more powerful interest groups. In many communities, these categories include the vast majority of women. During the course of the past decade there has been a tremendous outpouring of research on topics related to women. In addition, political and social analysts have investigated women's groups and associations with emphasis on the roles of these organizations in providing access to resources, increased independence, political voice, and security for their members.[20]

Table 1.1. Major constraints preventing equitable and sustainable development

Lack of Human Rights

Obstacles:

- global political economy and multinational investment in repressive regimes
- genocidal and/or unstable governments
- inequitable power structures
- poverty, poor health, and malnutrition
- militarization

Opportunities for Action:

- grassroots organizing
- affirmative action
- access to information and media
- coalition building
- participation in social & political institutions

Economic and Livelihood Insecurities

Obstacles:

- Economically disadvantaged groups are less able to participate in development and benefit from activities due to time, status, and physical constraints

Opportunities for Action:

- Designing projects which recognize the opportunity cost to project participation and which take into account that labor availability varies according to seasonal cycles, status, and health thereby enabling more people to participate.

Socio-cultural Impediments

Obstacles:

- Adherence to customs and regulations is rooted in hierarchical structures which most individuals, whether advantaged or disadvantaged, have some stake in preserving
- Class, status, and gender and other socially defined categories all include norms of behavior to which individuals are taught to conform
- Trespassing culturally ascribed roles can cause friction in communities

Opportunities for Action:

- Consciousness-raising and training may help groups recognize their positions relative to other groups and to understand reasons that inequalities exist
- When groups understand cultural control over hierarchies, they are more freer to question the basis and equity of cultural norms

Gender Bias

Obstacles:

- Low status of women relative to men worldwide
- Lack of opportunities for the advancement of women
- Deeply-rooted cultural beliefs and structural arrangements that favor the domination of men over women

Opportunities for Action:

- increasing recognition of the reality of gender bias
- Tools for including the gender variable and empowering women have been developed and are being disseminated
- Increasingly women themselves are seeking "voice" and attempting to address the issues which confront them

Devalued Local Knowledge

Obstacles:

- Western-determined indicators have led to a lack of respect for people's rights and capabilities
- Traditional technologies and knowledge have been viewed as inferior
- Development efforts have too often reinforced existing inequities and destroyed traditional livelihood bases with inappropriate technologies and schemes
- New technologies have replaced time-honored traditions and have hastened the degradation of ecosystems

Opportunities for Action:

- Community discussions and participatory research that highlight local knowledge can enable people to become central to the development process both as agents and as beneficiaries
- Empowering disadvantaged sectors helps to revive and/or preserve indigenous knowledge
- Indigenous systems can sustainably manage and utilize resources

Political Conditions and Power Structures

Obstacles:

- Existing political structures protect the interests of the powerful by maximizing their profits and enabling them to consolidate power
- Attempts to restructure these arrangements threatens those who are in power who in turn may intimidate those who are posing the threats

Opportunities for Action:

- By getting a clear picture of the power structure at the outset of program and project formulation, a development agent will know how power is exercised and how different groups may be affected if structural change occurs
- He or she can also take measures to ensure that more powerful groups do not coopt programs designed for the disadvantaged

Dwindling and Scarce Resources

Obstacles:

- With growing populations and the consolidation of material resources by rich individuals, powerful multi-national companies and governments, resources that could be used by marginalized groups are limited
- Disadvantaged groups suffer disproportionately under these conditions because it is the poorest who rely most directly on the natural resource base for their basic needs such as food, water, and energy
- The poorest suffer disproportionately the residues of excess waste and toxins which are often dumped where vulnerable groups live

Opportunities for Action:

- An international recognition of the inter-connectedness of our lives and our common future is growing
- This growing understanding of our interdependence paves the way for concerted action to preserve biodiversity, respect local knowledge and enhance livelihood security

External/Macro-level Conditionalities

Obstacles:

- Factors that are not within direct control of local actors shape the economic, social and political dynamics of the community
- Macro-level policies and agreements beyond the local and national boundaries affect the community

Opportunities for Action:

- Practitioners can try to create awareness of negative effects by raising questions about the project from a wider perspective including economics, history, national and international laws, regulations, and market and political forces outside the project area

Development Organizational Formats

Obstacles:

- Development agencies or donor organizations must usually follow mandates from their decision-making bodies which dictate which resources are to be allocated and by what means
- Expected outputs and timeframes are often predetermined
- Such conditionalities often leave little room for agents to negotiate with local partners to get inputs from the community and gain familiarity with the project areas and local views

Opportunities for Action:

- The face of development is changing and development agents can take advantage of this fact
- Evidence points to the long-term effectiveness of participatory and empowering methodologies. Agents can justify their new methods with examples of successful case studies
- While initial investments may be more time consuming, the payoff in sustainability justifies a slower start-up

Another often overlooked group within communities are young adults aged 14 - 25. Most development processes have not included the views or visions of younger community members. Even though they represent the future of villages, their concerns are rarely represented in organized forums. Field testing of the SEGA manual in the Philippines and Costa Rica revealed the importance of including the energy and vision of youths in community organizing efforts.

Efforts to engage local residents nevertheless run the risk of neglecting the poor, the marginalized and the powerless who may be 'invisible,' inaccessible and silent.

Evidence suggests that empowerment through effective participation provides real opportunities for change. Success experienced by groups in carrying out actions that they identify, plan and execute breeds more success, enabling community members to realize their own capacities to respond to community concerns. The process of working together to solve their problems becomes the means toward discovering what is necessary to mobilize resources and realize aspirations. Local ownership of projects also helps assure economic, environmental, and social sustainability. Both localities and national governments have much to gain if the capacities of local organizations can become a valued resource. In fact, analysts have observed that project performance is more effective, and more likely to be sustainable when local residents are active participants through their own organizations in identifying needs and designing, and implementing solutions.

Understanding and Empowering Households

Households can be characterized in a variety of ways. It is valuable to grasp the economic and social attributes of a range of households within a community, as well as their intra-household dynamics. Whether a household is comprised of an extended family or a nuclear family, whether it is male-headed, female-headed, or female-managed indicates specific constraints and opportunities which vary according to the setting. Basic valuable information includes the composition of a household, age, sex and level of education of adults, numbers of child and adult dependents, and major activities on a seasonal basis as well as a daily basis. Gender and age are critical variables in the capacity of households to manage their resources both effectively and sustainably. Much of this information can be gathered through focus group discussions or other participatory methods found in Part II of this manual.

Economic issues are critical at the household level. Is the household comprised of landless, near landless, smallholders or medium-scale farmers, artisans, or small-scale entrepreneurs, or some combination of the above? Given the multiple livelihood strategies of most households and the multiple production units found within them, it is useful to

know how women and men balance labor demands for income producing work, subsistence production, domestic tasks, and community work.[21] In most communities men's and women's access to wage labor varies on a casual or regular basis. The internal dynamics of the family and the household are central to understanding differences in the patterns of male and female migration. Options for out-migration to seek employment or education vary by gender, age, and social strata, as do the nature and level of remittances coming into a household.

Whether a household is comprised of an extended or a nuclear family, is male-headed, female-headed, or female-managed, indicates specific constraints and opportunities which vary according to the setting.

People relate to others outside their immediate household for a variety of reasons including those of building social capital as a protection against future need.[22] Patterns of cooperation, reciprocity, and exchange include both informal networks and formal associations or organizations to which men and women belong in order to enhance access to resources, to public and private goods and services, and to centers of power and decision-making. They have implications not only for the access of individuals and households to resources but also for stratification patterns within communities. They also have consequences for distinct groups of people based on differences in race, ethnicity, age, class, and, of course, gender.[23]

Addressing issues of inequitable relations, particularly female subordination within the household, is complex. SEGA's project orientation and problem-solving approach lend themselves to practical as well as strategic methods for addressing various forms of inequities and subordination, as reflected in the discussion of an Indian community later in Part I of this manual.

Transforming inequitable relations

Usually those who hold power are the rich, the better educated, the higher caste, the men, the elders and the able-bodied in the community. Those who are disadvantaged tend to have the opposite characteristics. These latter individuals usually comprise the majority in most societies. Through an analysis of social relations, it becomes clear which groups should be identified as priority partners in development efforts. It should also be possible to identify all stakeholders relevant to the task at hand.

We identify **five** important steps in transforming inequitable relations both globally and locally.

Organization. One of the ways disadvantaged groups can build capacities and collective strength is through organizing.[24] While there is a residual strength in the numbers of the disadvantaged, they often do not realize the collective power they can have if they act in unison. A community organizing process can help groups to articulate a common vision and then work toward it. Small successes can lead to larger ones and groups can begin to build up resources. This process can be facilitated by an outside agency working within the community and gradually enabling the community to initiate and orchestrate its own activities. This is not a one-time activity but a process that evolves as the group undertakes more action and as participants reflect and extract lessons from their experiences. It is their common action and a growing consciousness of their worth and value that empowers them.

Education and training. People learn best when there is respect for what they already know, and when what they are learning is immediately applicable to their life experiences. Learning by doing, learning by solving problems, learning by reflecting on actions are the most effective educational experiences. Consciousness-raising and training can be a means to help a group organize around issues and common concerns. Training can also be devised to fit needs that arise once a group has identified a course of action. Leadership training and non-formal education can be essential components of empowerment.

Access to and control over resources. One of the benefits of participatory processes is that the community is able to mobilize its own resources to carry out its plans. When resources within the community are insufficient, external resources may be accessed. If groups learn to use internal resources successfully before drawing on external resources, they are more likely to assure accountability to the group and respect for individual needs. Mobilizing local resources for action is a first step in achieving more equitable distribution of the broader society's resources.

Policy changes at the macro-level. At the same time, new approaches of development must put people at the center of the process, regarding economic growth as a means and not an end, protecting the life opportunities of future generations as well as the present generations, and respecting the natural systems on which all life depends.[25] Moving beyond the limitations of various fixed theories, development facilitators can explore new alternatives which emphasize diversity, grassroots movements, strengthening people's capabilities, self-definitions of reality, and collaborative solutions to material poverty.

Building local-to-global linkages. New development approaches are based on respecting the rights and needs of all peoples while building a common future. One way to strengthen local groups is to link them with external agencies on the basis of mutual interests and cooperation. These linkages strengthen institutions for equitable and sustainable development. This process recognizes global interdependence. It incorporates a broad range of institutions into coalitions, alliance-building and networking to build a more equitable and just future.

Effects of empowerment

Empowerment through organizing, education and training can lead to participation in decision making processes that shape power structures and determine access to resources. Empowerment envisions a relationship of equals. As disadvantaged groups gain confidence, knowledge, voice and abilities, they may begin to regard themselves as active partners with other sectors of society. Over time they may be able to command respect for and acknowledgment of their concerns at negotiating tables.

Joining grassroots empowerment with international mandates and national policies that open opportunities for disadvantaged groups provides a framework in which all people can learn to respect one another's rights and viewpoints. Coalitions and alliances that build beyond the local community and enable groups to join with others sharing their interests and concerns can begin to construct - from the ground up - new initiatives for change.

There are few analyses of the process of empowerment from the perspective of the excluded and the subordinate. Even more rarely are these issues considered from a gender perspective. Yet, opportunities exist for including the concerns of less advantaged groups in building strategies for socio-economic, environmental and political action leading to their empowerment. In the next part of A Conceptual Framework we introduce the SEGA approach to equitable and sustainable development.

Empowerment through organizing, education and training can lead to participation in decision making processes that shape power structures and determine access to resources.

Definitions

Project

An activity focusing on a problem with specific objectives, time frame, and spatial limitations. Projects may vary in scale and scope from hydroelectric dams to a women's group vegetable garden. A development project attempts to build sustainable economic capacity, promote participation, provide training or encourage people in various self-reliant strategies to promote economic and social improvements. Projects are often part of larger programs.

Program

An organizational framework designed to carry out policies, specifying the relationships among elements, and not necessarily limited to a specified time and space, e.g. a school lunch program, or a disaster relief program.

Policy

A general guideline for action adopted and implemented by an institution or agency (public or private), such as an environmental action plan or a policy regarding maternal and child health care. Policies usually determine program focus.

The SEGA Approach

The SEGA approach to development rejects ethnic, racial, gender and other forms of exclusivity which are rooted in structural domination of one group over another. SEGA sees people as a part of nature instead of being separate from it. The approach permits us to visualize the interconnected processes of environmental, social and economic change. The approach generates a clearer understanding of the social factors (i.e. class, caste, gender, ethnicity and religion) on hierarchies that determine access to and control over resources.

The SEGA approach provides tools for the user to analyze social relations. When we understand the relationships among people, social structures, and resource bases, we can begin to plan interventions to change the conditions that hinder development. In this context, the use of SEGA tools and participation are interdependent. SEGA analyses facilitate people's participation as a way to learn from the local level and build development partnerships that can restructure society and peoples' relations with their environment.

Assumptions

The SEGA approach is based on conditions and relations that are well-documented in development literature.[26] They are put forward here as underlying assumptions:

1. Individuals and households are identified and stratified in terms of gender, age, ethnicity, race, class, caste, religion, and other social variables.

2. These hierarchical structures favor a few and disenfranchise the majority.

3. This hierarchical inequity is produced and reproduced by processes that are embedded in the political, economic, cultural, educational, religious, and other social institutions.

4. Access to and control of the environmental and socio-economic resource base are mediated through social and institutional relations that are designed to perpetuate the hierarchy.

5. Local knowledge and expertise which have been subjugated and devalued by cross-cultural inequities should be revived and mobilized to inform and shape development models and programs, insofar as they keep in mind the broad SEGA goals of social and economic justice.

6. Interventions to build more equitable social relationships should empower disadvantaged groups, advocate widespread commitment to sustainable development and build links between local and external resources.

7. Social equity - including gender equity - can enhance livelihood security, productivity and sustainability because it involves all members of a community in defining, designing and implementing measures for their own development.

In summary, the SEGA approach assumes that there are inequities in all societies that need to be examined and redressed by initiatives from below and above. The SEGA Model, as shown on the next page, reveals the interconnectedness of households and individuals with social institutions and the resource-base. Inequities within and among these structures can be transformed by empowering people to participate in social processes affecting their lives. This transformation can be expedited either by grassroots initiatives or through a development partnership of the people and those who are in power. The SEGA approach proposes that social equity can enhance productivity and sustainability because it involves communities in their own development and reinforces their stake in the future of the ecosystems they inhabit.

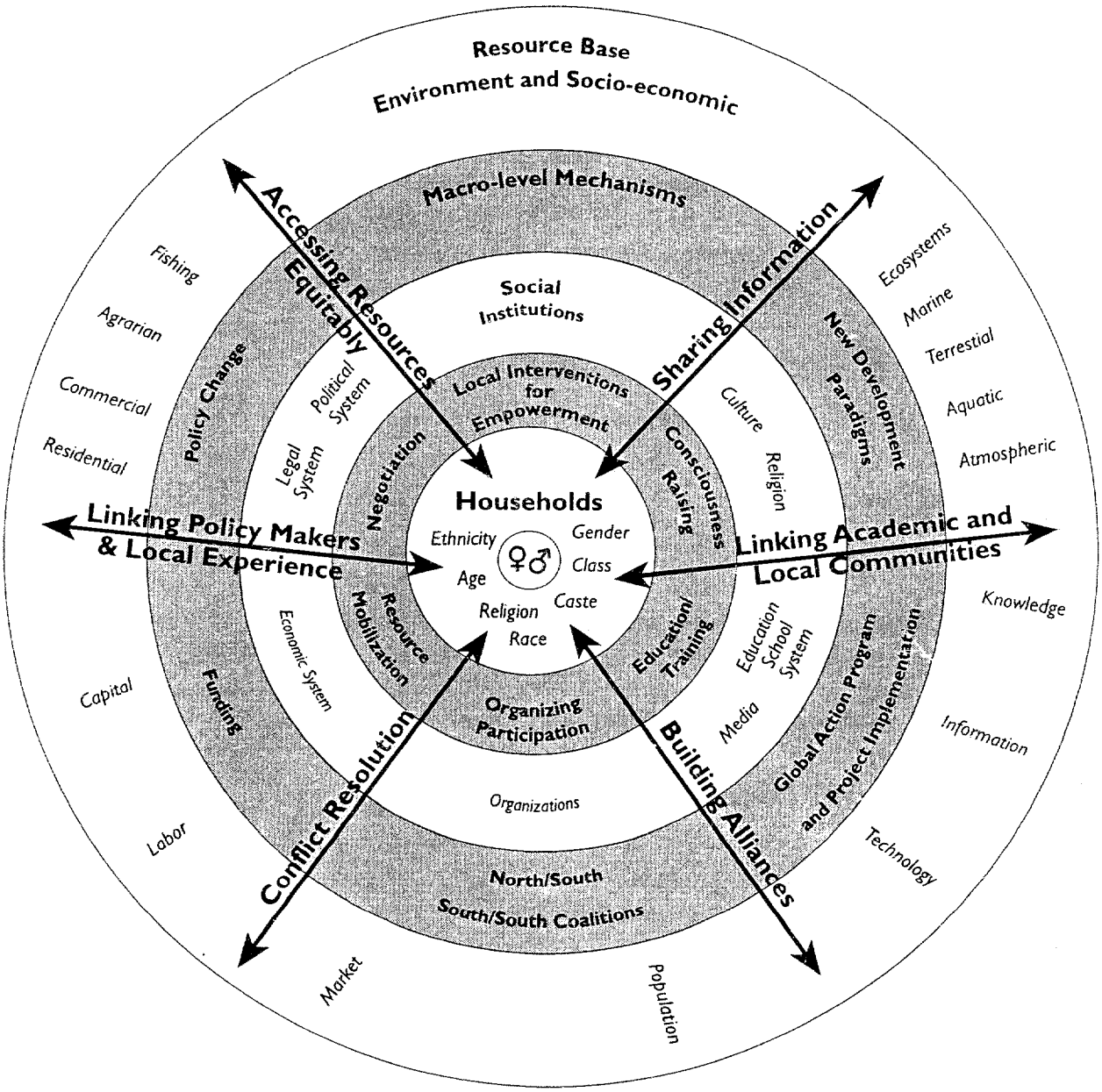
Elements of the Model

The model consists of light and dark concentric bands which are linked by radiating arrows. The light bands represent existing structures (individuals, households, social institutions, resource bases) that produce and reproduce inequities. The dark bands (local-level empowerment/participation, and macro-level mechanisms for change), and the dark arrows (linking external opportunities and local initiatives) represent the processes and interventions that can alter the problematic conditions/structures.

Structures and Conditions

- **Individuals.** At the center of the model are individuals characterized by gender, age ethnicity, class, caste, race, religion or other salient variables. They are noted on the diagram by the symbols for men and women. SEGA takes into account relations within households among its members.

Figure 1.1. Overview of the SEGA Model: Processes Needed to Suppport Equitable and Sustainable Development



- **Households**. Individuals live and work within households with distinct characteristics.[27] SEGA examines relations among households, recognizing, for example, that a poor but high status Brahmin household in rural Nepal may have access to resources that a more affluent but lower status Tamang household does not. It takes into account the ways in which different characteristics can enhance or diminish the household's position in society.

- **Social institutions**. The third white band corresponds to the institutions that control or mediate social relations especially in relation to the resource base.[28] The social institutions listed in the model are the political, legal, economic and educational systems along with culture, religion and the media. A new force that has emerged in the development field consists of non-governmental organizations (NGOs) and community organizations that can offer alternative ways of understanding and implementing development programs. Understanding these institutions is central to the SEGA approach because it is through them that social dynamics are negotiated and more effective development practices implemented.

- **The resource base: environmental and socio-economic**. The dynamics of power are in large part determined by who has access to and control of resources. These include natural or environmental resources such as agricultural, pastoral or commercial lands, forest and communal resources, and other ecosystems such as the sea. It also includes the socio-economic base that provides the means of making land productive and profitable by the employment of labor, capital, markets, technology and information.

Although these structures are presented separately in the model, they are very much intertwined. Individuals or households which are privileged by virtue of social characteristics often capture the leadership and control of social institutions. There are also cases when different institutions (political, economic, education, media) work together to perpetuate the interests of those already powerful. For SEGA, these are the contexts and constraints that must be explored in order to search for opportunities that can influence projects and create social change.

Disadvantaged groups remain disadvantaged in part because they do not have a voice in the social institutions that govern society.

Processes and Interventions

Previous analysis shows that certain groups remain disadvantaged in part because they do not have a voice in the social institutions that govern society. SEGA envisions changes with these kinds of intervention (designated by the dark bands): empowering people locally, utilizing macro-level enabling mechanisms, and linking top-down and bottom-up initiatives.

- **Local interventions for empowerment**. The first dark band represents local-level initiatives that can be achieved through programs that include consciousness raising, organizing, education and training. As noted, these are the steps that enable disadvantaged groups to be empowered. Empowerment implies that people have the ability to understand their condition and to devise ways of changing it. Training and educational programs enable people to participate in decision-making and to negotiate with higher authorities.

- **Macro-level mechanisms**. The second dark concentric circle refers to the enabling mechanisms that support equitable and sustainable development. These are normally mechanisms that are external to a community such as new development paradigms, policy changes consistent with these objectives, global action programs, funding opportunities and commitments, and North-South/South-South coalitions that act as pressure groups for change. In many cases enabling mechanisms favoring empowerment already exist on paper but have still not been implemented. A bridge is needed to link enabling mechanisms and local concerns with external initiatives.

- **Linkages and networks.** The arrows that cut across the concentric circles represent the links between external opportunities and local initiatives. These bridges can be linkages with policy makers, academicians, coalitions, or resource decision-makers. Linkage should be a two-way process with the top learning from the bottom and vice versa. Links may also be a meeting half-way of both external and local agencies to discuss problems, share resources and resolve common concerns. A strong people's organization, for instance, can mobilize the media, the church and academic institutions to support them in efforts to influence policy changes regarding logging or use of public lands. At the other end, mandates from international agreements may pressure funding agencies to support environmentally sound projects. Effective program implementation is facilitated when the people's organization concerned about logging is linked with the funding agency that is concerned about the environment.

Effective program implementation is facilitated when the people's organization concerned about logging is linked with the funding agency that is concerned about the environment.

The SEGA Approach for Project Formulation and Planning

The SEGA approach directs attention to critical information needs and to the types of interventions that can foster equitable and sustainable development. Such interventions are most effective when implemented in a systematic and participatory manner. We recommend the following steps:

1. Identify secondary sources of information. Essential information must be gathered to inform project design, monitoring and evaluation. Information should include intra-household dynamics, the social characteristics of the households in the project area, the social institutions and the resource-bases available to the community. It is also useful to know what interventions have already been tried in the project area in order to learn from these experiences.

2. Associate with the community and identify disadvantaged groups. The development agent should be able to work with the community in a spirit of partnership. The agent should gain the acceptance of the community's leaders and residents. During this time the community organizer should gather information using the types of participatory methods described in Part II of this manual to be able to incorporate local knowledge and views into an understanding of community dynamics. Disadvantaged groups should be identified during this phase so that their views may be sought.

3. Include less advantaged groups as priority partners. After identifying the different priority groups in the community, special efforts must be made to secure their participation. The prioritization of disadvantaged groups may not be simple in light of stakes that different groups have in preserving the status quo. The community organizer should be versed in negotiation and conflict resolution. All stakeholders should be invited to join into the discussion. Issues can be posed as win-win, rather than zero-sum situations.

The prioritization of disadvantaged groups may not be simple in light of stakes that different groups have in preserving the status quo.

4. Use participatory methodologies for gathering information. Disadvantaged groups must be encouraged to participate in the data gathering process. This activity will raise their awareness of problems and, therefore, enable them to suggest ways of improving their situation. Their involvement in data gathering also makes use of their knowledge in designing solutions. The SEGA approach suggests many data-gathering tools, detailed in Part II of this manual. The SEGA methods are highly visual and concrete, designed for people in the community to adapt and conduct easily. These tools can yield the necessary socio-economic, environmental as well as gender-based data needed for effective and equitable planning. The use of different tools to cross-check information gathered can verify the validity of data.

5. Involve community members in analysis and planning. Processing the data will make it useful for planning. Community members can use the data to make statements regarding their problems and potential solutions. They can then target various activities

or projects for changes. The planning tools in Part II, Section E, of this manual can help enable the community to do its own planning. Community members will be able to make a summary of their conditions, formulate their objectives, and choose interventions. They can identify persons who will be instrumental in carrying out the plans. Along with the plan, the community should be able to design ways of monitoring and evaluation to determine the success of a project.

6. Mobilize resources. Just as both external and local knowledge come together to identify possible projects, external and local resources should also be mobilized in order to implement plans. Local resources should be tapped first before looking for external support. This is in keeping with the goal of building community self-reliance. Community members can contribute their labor, time, expertise and materials for a project. The development agent may be able to link communities to agencies or organizations interested in the types of projects the community favors. When external resources are needed, a more formal request or a project proposal may be prepared by the community. The development agent should use this as an opportunity to train the community to develop a project proposal and present their ideas to outside groups.

Local resources should be tapped first before looking for external support. This is in keeping with the goal of building community self-reliance.

7. Employ sustainable methods. All projects should be viewed from a perspective that includes concern for the environment. The sustainability of a project depends to a great extent on how the people themselves are able to manage the project and assure the availability of needed resources. Projects should incorporate strategies which enable the community to strengthen cooperation and abilities to solve problems.

8. Link local knowledge and experience with macro interventions. In order for local knowledge to be accessible to a wide audience, experiences must be well documented. A project can be written up as a case study which can then be furnished to the academic community, policy makers, non-governmental organizations and resource groups. Detailed process documentation and thorough monitoring and evaluation can help to disseminate the lessons learned from the empowerment of a community. Development practitioners can use the lessons learned from a participatory project to push for change from within their organizations.

9. Involve disadvantaged groups in macro-processes. Providing priority groups with opportunities to share their expertise and experience is empowering. A female project participant, for example, may be asked to report on the project at a gathering of academics or policy makers. This may not only affect the understanding of those

gathered in regard to the disadvantaged groups, it will also empower the woman to find her voice and assert her knowledge in new contexts. People can also be elected or appointed as members of committees or organizations, both national and international, that make policy recommendations in matters that involve the lives of the less advantaged. They can become advocates for a model of development that suits their needs and sensibilities.

10. Evaluate the impact of the project. From the outset of a project, development agents and community members make guesses about a variety of outcomes. These "guesses" should be formalized and indicators for evaluating the project should be clarified in the planning stage. Asking the community to compare pre-project data with post-project results can show whether objectives have been attained. The information can also be used to assess whether different segments of a community have become engaged in planning, formulation and implementation processes. Evaluation can help determine whether disadvantaged groups now have more access to and control of resources, whether their lives have improved, whether current productivity can be maintained in the long term without destroying the environment and whether the capacities built among priority groups are strong enough to insure long-term gains.

Systematic and participatory planning based on the SEGA approach is a means to engage all members of a community, including disadvantaged groups, in designing, planning and implementing projects.

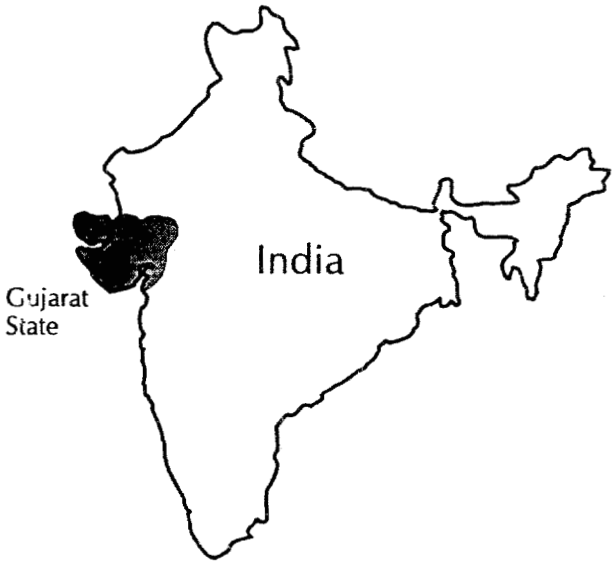
In summary, systematic and participatory planning based on the SEGA approach is a means to engage all members of a community, including disadvantaged groups, in designing, planning and implementing projects. Empowering people to participate in social processes affecting their lives and livelihoods will transform structures perpetuating existing inequities. Documenting and disseminating community successes can sustain gains and influence development theories and policies. Support for this effort can be maximized by coupling external concern with local capabilities. Developing grassroots initiatives by using local knowledge, leadership and resources, and forming alliances with outsiders can help redress power imbalances and inequities.

In the next section, we show why the empowerment of disadvantaged groups is a necessary means for achieving sustainable development. We use the SARTHI case to demonstrate that the SEGA approach can serve as a valuable guide to the process of gathering information, analyzing social relations, assessing the feasibility of solutions, and evaluating project impact. SEGA specifies how different social processes interconnect in order to bring about more equitable and sustainable development. Elements of the model are illustrated in this presentation of SARTHI.

Finding a New Way: Using the SARTHI Experience to Understand SEGA

The preceding sections have considered the characteristics of equitable and sustainable development, discussed the importance of empowering disadvantaged people in the process of seeking it, and introduced the SEGA approach. Empowerment fosters local ownership of development processes and allows individuals to better manage and control resources. This long term process allows disadvantaged groups to influence the larger systems that affect their lives.

Figure 1.2.Location of SARTHI Activities



SEGA is an approach to development which focuses on ways to empower priority groups. It demonstrates the interconnectedness of individuals and households with social institutions and the resource base, and the interventions which can change the harmful conditions affecting peoples lives. The SEGA approach is presented on pp. 25-32. We now build the approach step by step in the following pages by showing how the model applies to a specific case from north India.

The case is an organization called SARTHI (Social Action for Rural and Tribal Inhabitants of India) which works with tribal women in Gujarat. By analyzing the SARTHI case, we can explore how one organization has worked with women to construct a collective identity, address environmental and economic concerns, protest gender-based injustices, and secure resources and political space. The SARTHI experience allows us to understand more fully the strengths of an empowering approach.

The SARTHI (Social Action for Rural and Tribal Inhabitants of India) Experience[29]

In Panchmahals District of Gujarat State in Western India, groups of rural women from the Adivasi[30] or tribal communities have been organizing themselves around the rehabilitation of degraded common land. SARTHI, a branch of the Social Work and Research Centre (SWRC), an NGO based in Rajasthan, has been helping women not only to meet their needs for vegetative produce (biomass) in a more efficient and ecologically sound manner, but also to enable them to address a broad range of problems.

The forests of Panchmahals District have been famous throughout Indian history. Little of this forest land, however, has survived the combined pressures of illicit cutting of timber, commercial exploitation by governments, and uncontrolled grazing and clearing for agriculture. Since landholdings are very small, people rely on supplementing agricultural production by collecting biomass from common lands to meet their subsistence needs. This is traditionally women's work carried out in the context of the Forest Department's increasing restriction on collection of nontimber forest produce as well as the increasing work burdens for women as men migrate to cities in search of employment.

In the early 1980's SARTHI started working with women in Gujarat on development projects, such as installing hand pumps, deepening wells and creating income-generating projects. Over time SARTHI's focus has shifted to leadership development and promotion of organized action by underprivileged sectors of the community, particularly women. By the late 1980s, with the drought aggravating women's unending search for fuel, fodder, food, and water, SARTHI began to give serious thought to developing a more holistic approach to meeting women's needs. SARTHI organized opportunities for women to get together to analyze the nature of the environmental crisis and the possibilities for taking collective action to address some of their problems. Over time the women became involved in devising a program for rehabilitating and managing common land resources on government-owned wastelands.[31]

SARTHI organized opportunities for women to get together to analyze the nature of the environmental crisis and the possibilities for taking collective action to address some of their problems.

By 1993, SARTHI was working with about 17 women's wasteland groups helping to strengthen the weaker and newer groups by facilitating interaction between them and older, stronger groups. SARTHI has essentially switched from individual beneficiary-oriented projects to programs geared toward organizing and mobilizing women and youth, as well as

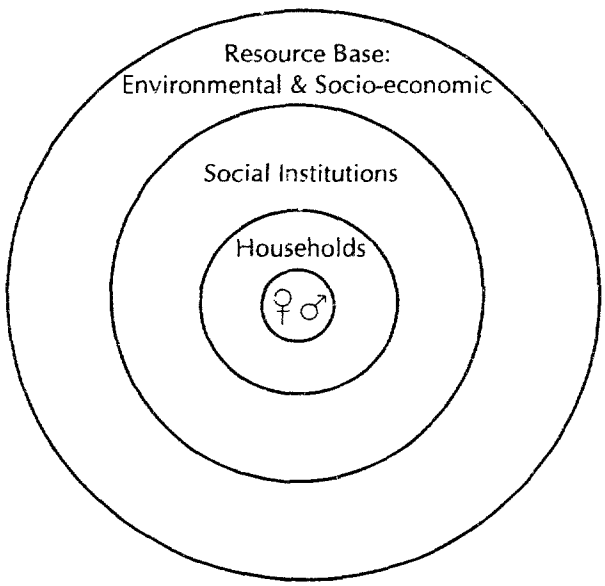
men. Using groups has proved to be an effective means to break down barriers to participation by women and other subordinate people.

Through the Wasteland Development Project, women in Panchmahals District manage small portions of village common land resources according to their needs and priorities. Besides providing a source of biomass under the women's own control, participation in group activities has brought other improvements in women's lives. For example, discussion of nutritional deficiencies has led to integration of nutritionally important trees in the wasteland program. Some groups have established mechanisms for savings and credit; others have received paraveterinary training for treating cattle. Furthermore, the women's wasteland groups have been able to validate and protect their gains by participating in local government meetings and assuring that local government units uphold their land rights. By holding local governments accountable, women have improved their status as community members. They have gained better respect, esteem and power within the local communtiy.

SARTHI's experience in organizing women around the development of wastelands has yielded important lessons in the management of natural resources and the empowerment of women. Bringing women together in groups provides them with the power they need to begin to negotiate the confines of family and community norms. The women's groups have evolved both by rewarding productivity and by challenging directly all efforts to trivialize or exploit their work. For the short-term, the wasteland projects offer an opportunity for women to gain collective tenurial rights over community-held land resources. This is a first step in the long process of asserting women's rights to enjoy equal standing with men. Only through such strategic thinking will gender relations begin to change.

The experience in SARTHI and the women's groups of Panchmahals demonstrates how empowering the disadvantaged sectors of a community can be facilitated by an external agency which is aware of and committed to socio-economic and gender analysis and participatory methodologies for development. It suggests that, in the long run, the initial investment in empowering people "pays off" in terms of protecting the resource base, increasing equity within the community, and contributing to sustainable development.

Figure 1.3. Representation of the Interaction of Four Components: Individuals, Households, Social Institutions and the Resource Base



Components of the Analysis

A development model which is concerned with uplifting disadvantaged groups must analyze main categories of interaction: individuals households, social institutions, and resource bases. Access to resources is mediated by social institutions as illustrated by the third circle in the model, placed between households and resource bases. The interaction among these components is represented as four concentric circles in Figure 1.3.

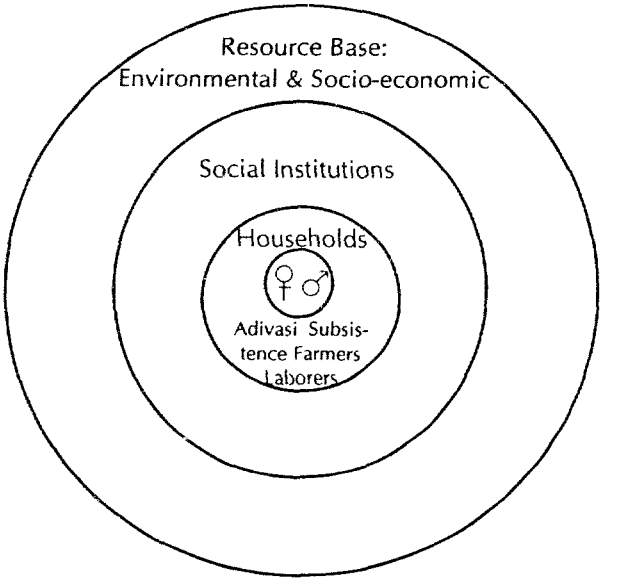
1. Individuals. In the SARTHI case, we focus on poor Adivasi women engaged in subsistence farming. Adivasi women have traditionally carried heavy workloads and lived under the control of their husbands within the confines of their cultural and religious norms.

2. Households. The impact of development can be measured in terms of how households are able to meet their basic needs, expand their choices, live in dignity, and address the problems confronting them. While a household as a unit can be disenfranchised by race, ethnicity, caste and class, a woman household member often takes on a status lower than that of the man in the same household because of inequitable gender relations within the house and larger culture. Therefore, it is necessary to look at the specific components of a household to understand its context. The second circle of the model does this by noting the characteristics of households such as religion, caste, gender, and livelihood source (See Figure 1.4).

3. Social Institutions. Considering the social institutions affecting the Adivasis, we can see some factors working against the interests of the Adivasi women. The government and local elites have a stake in preserving the status quo which limits poor women's

access to resources. The women's efforts to increase productivity and rehabilitate the wasteland met with problems at the social institutional level including legal and cultural restrictions. Adivasi culture reinforces the notion that women should not claim rights or privileges that men enjoy.

Figure 1.4. Characteristics of the Households of Disadvantaged Groups

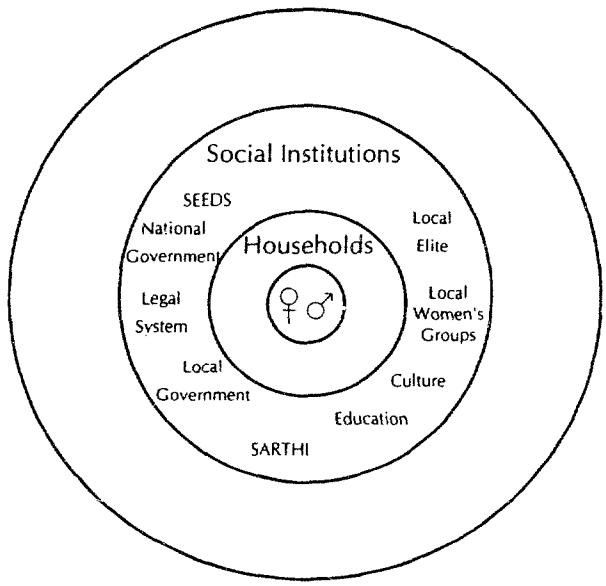


There are, however, social institutions that work in the interest of the Adivasi women. The national government had implemented a large-scale wasteland development program. The NGO SARTHI is particularly interested in working with women. Through SARTHI's networks, the Adivasi women were linked with The Population Council's SEEDS program that documented the project's experiences in promoting strategies for empowering women.

In the course of SARTHI's Wasteland Development Project, local women's groups became strong and influential, legitimizing themselves as a new social institution in the community. Once the Adivasi women became organized, they were able to negotiate with the political system and with their husbands to grant them access to common lands. The formation of disadvantaged individuals into groups gave them negotiating power to interact with other social institutions. Figure 1.5 provides a map of the social institutions in the community which serves as a guide to locating obstacles to and opportunities for change.

4. The Resource Base. The resource base has both environmental and socio-economic components. It is necessary to inventory resources in order to determine how best to work with the strengths of the disadvantaged group. Land, capital and markets may not be easily accessed, but labor, local knowledge and technology are also resources that groups can build upon.

Figure 1.5. Variety of Social Institutions Affecting the Adivasi Community



The Adivasi women had the knowledge and technology to make the wastelands more productive. They were able to combine their labor and apply their skills to rehabilitate the wastelands. While the women lacked capital and tenure, SARTHI was able to build upon the women's strengths. Figure 1.6 identifies Adivasi resources.

Actions/Interventions

The Wasteland Development Project interventions occurred at three loci: interventions among women within the community; processes outside of the community; and actions linking the community to external mechanisms. The actions were overlapping and did not occur in a particular sequence. Local conditions determine order.

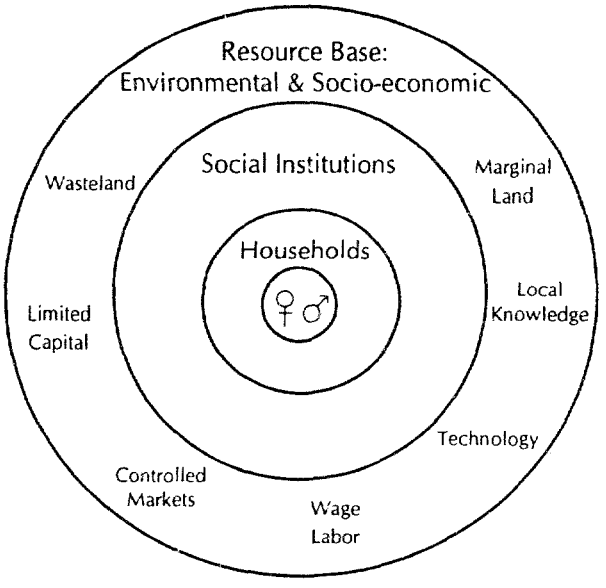
1. Empowerment of women. The Adivasi women used the wasteland for firewood, fodder and other household needs under limited and risky conditions. To rehabilitate the wasteland and to improve livelihood security, SARTHI first introduced Adivasi women to women's groups from outside the village to exchange ideas and discuss problems. By gaining awareness of their common problems, women bonded together and discovered the power of collective action in problem solving.

SARTHI then conducted a series of training sessions to enhance leadership and negotiating skills. Women also learned from each other through discussion and reflection. They began to appreciate their abilities and with group support were able to negotiate with their husbands for permission to attend group activities and work on the wasteland projects. By building a group identity, they were able to gain social consent and space.

As women became empowered, they were able to represent their interests collectively in local government discussions on wasteland utilization. They slowly

learned ways to address the traditional authority of their husbands and local elites. The empowerment process enabled women first to mobilize internal resources and then to participate in restructuring social institutions. The processes of empowering women for greater participation in social institutions is represented graphically by the dark band in Figure 1.7.

Figure 1.6. Relationship of the Resource Base to Households and Social Institutions

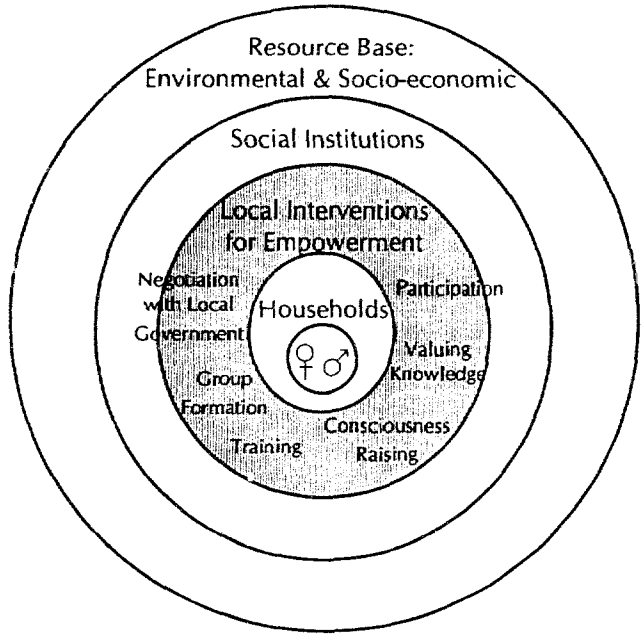


2. Macro-level mechanisms. The women's request for rights to rehabilitate common land would probably not have succeeded if some mechanisms were not in place to support their efforts. For example, some national policies contributed to the Wasteland Development Project's success. The Government of India had implemented a national wasteland program to which the Adivasi could affiliate. Legislation protecting the land rights of cultural minorities also existed. Affirmative action programs for minority tribes instituted by the British gave priority to the Adivasis. However, even when enabling mechanisms exist, disadvantaged groups must often struggle to avail themselves of the advantages equally. And none of these enabling mechanisms explicitly gave equal privileges to women.

Fortunately, there were some enabling mechanisms that directly favored the Adivasi women. Because of previous failures working with men on wasteland development, SARTHI decided to work with women and had funding available to support the program. In addition, since SARTHI was associated with the Social Welfare and Research Center, it could draw from the resources of the extensive network of this NGO.

We place the enabling mechanisms between the social institutions and the resource base in our model because enabling mechanisms come from social institutions to mediate resource access. The relationship is illustrated in Figure 1.8.

Figure 1.7. Processes Empowering Women in Influencing Social Institutions



3. Building linkages and networks. In the SARTHI case, women's participation in local institutions extended beyond the bounds of the community. SARTHI facilitated linkages between women's groups so that they could learn directly from each other. The groups have formed such close ties that the Adivasi women are able to approach other groups for assistance directly without the mediation of SARTHI.

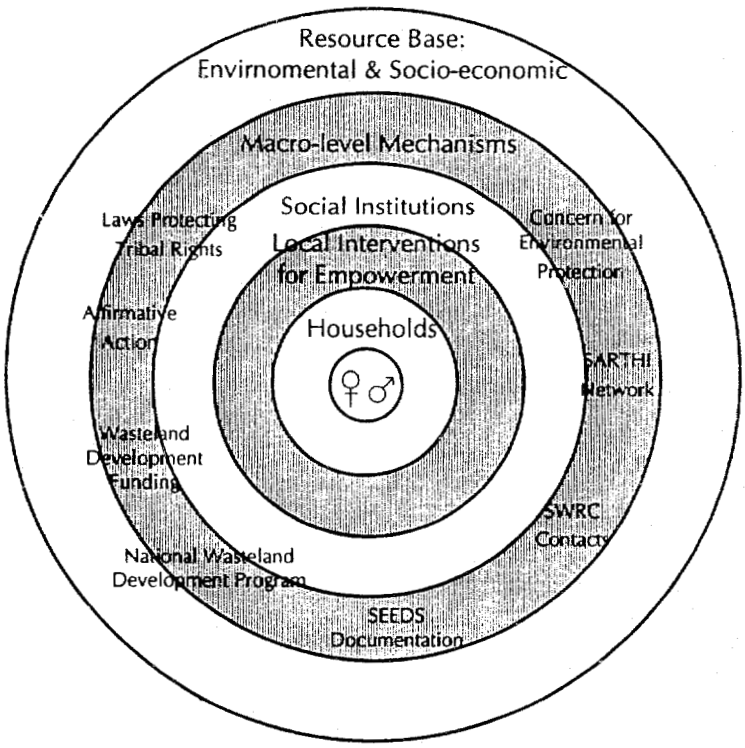
SARTHI's affiliation with SWRC facilitated international connections which helped to bring the project to the attention of The Population Council. In its regular publication, SEEDS, the Population Council published and disseminated the SARTHI experience for a wide audience including policy makers and academicians who can use SARTHI as a case study to identify the factors leading to empowerment and environmental protection. The SEEDS publication can also produce further support and publicity which may help protect the women if their rights are challenged.

Arrows linking the community and enabling mechanism can be visualized as bridges between households, social institutions, and enabling mechanisms as shown in Figure 1.9.

SEGA Map of the SARTHI Project

A comprehensive picture of the situation combines all the elements into a map of the project showing the household, social institution and resource components as well as the different interventions that were undertaken to transform the conditions of Adivasi women. This integrated representation is shown as Figure 1.10.

Figure 1.8. Mechanisms Enabling Women in the Adivasi Community to Mobilize



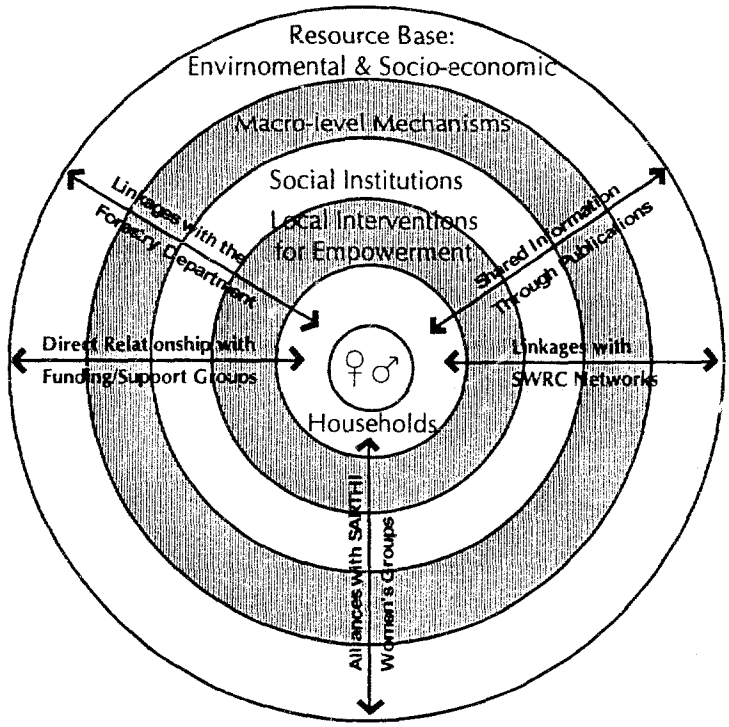
Measuring the Impact of the Project

A diagram such as that depicted in Figure 1.10 allows us to predict and understand more clearly the changes in the community as the project evolves. It can also be a guide to program evaluation. By using the diagram as a guide to understanding factors affecting community change, we can more readily determine the successes and limitations of a project. We can evaluate the sustainability of project gains and the effectiveness of interventions.

1. Results of the project.

- **In the Home.** The SARTHI project helped bring about improved quality of life among the Adivasi women and their families. Women secured a source of food and firewood for their families and grass and fodder for their livestock. Training in nutrition improved family health, and paraveterinary training improved livestock

Figure 1.9. The Different Linkages Bridging Women's Groups in the Adivasi Community to External Enabling Mechanisms



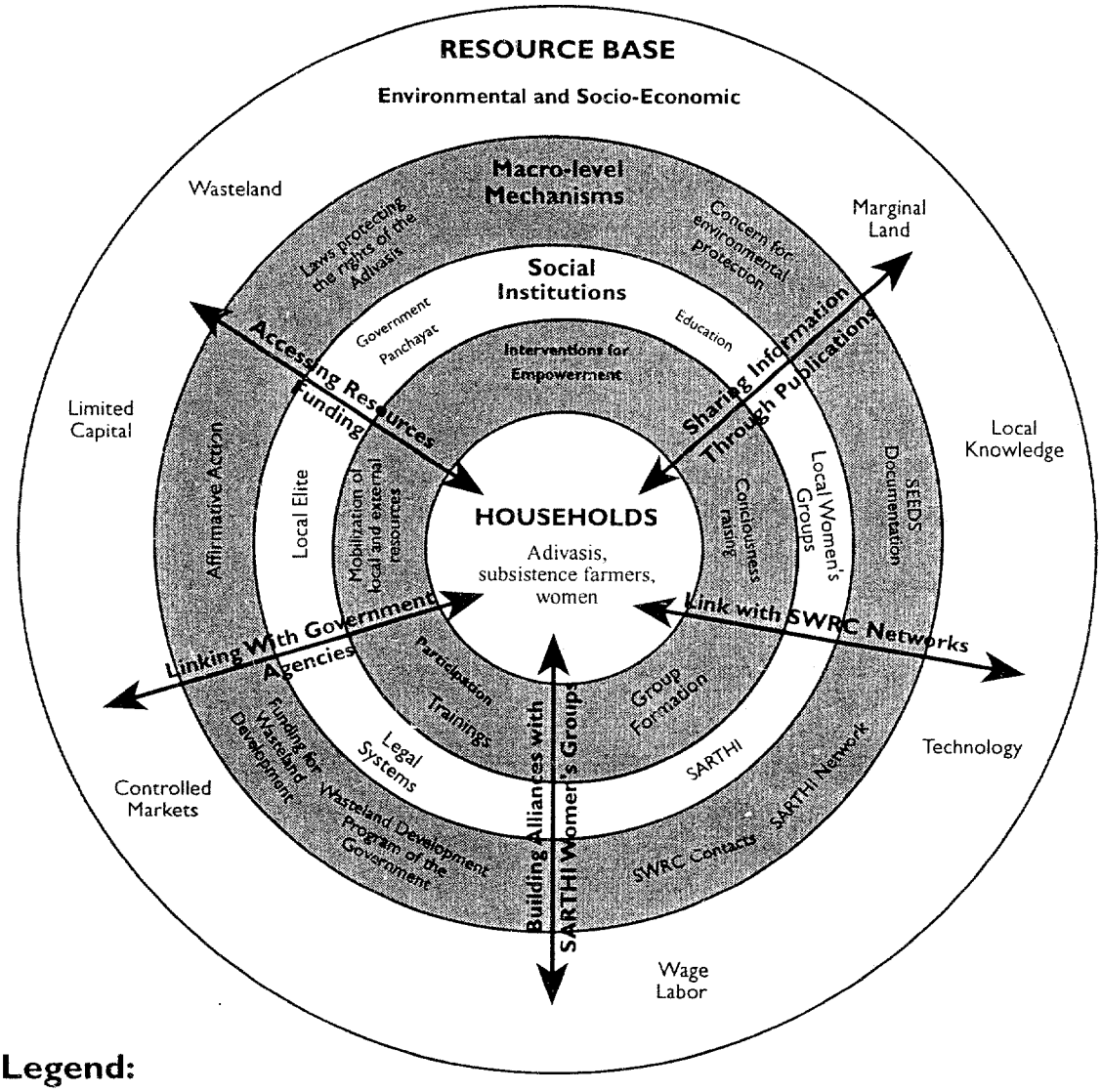
health as well as profits. Livestock and grass sales increased household income. Women's status within households also rose. Over time the gains made by the Adivasi women can be passed down to their daughters and help end the patterns of women's subordination and oppression.

- **In the Community**. The SARTHI project helped transform social institutions affecting the Adivasi community. Women gained social consent to participate in public decision-making, once the sole domain of men. Through this avenue of participation, women brought their views and concerns into the public forum. With their newfound voices and successes, women have become active members of the community.

2. Continuity of the processes

It is likely that the processes and interventions which enabled the Adivasi women to improve their situation can be sustained. Women continue to learn new skills and

Figure 1.10. SEGA Map of the SARTHI Project



Legend:

Structures/Conditions

Processes/Interventions

ideas through group sharing and participating in local government discussions. They have improved problem solving capabilities both individually and collectively. When SARTHI withdraws from the project area, the women's groups can continue to access the support that SARTHI and the SWRC offer.

Thinking about SEGA in Relation to Other Situations

We have just viewed the SARTHI project and its work with Adivasi women through the organizing lens of the SEGA approach. SEGA is valuable in helping us to analyze and understand the situation of the Adivasi women and to develop appropriate interventions to facilitate change. However, the SEGA approach is not gender-specific. It can be applied in all sorts of situations in which there are disadvantaged groups to be engaged in a process of change. Some of these situations are identified in the opportunity scenarios in Part III of this manual.

To clarify the range of situations in which the SEGA approach is useful, we can consider three of these scenarios. First, the SEGA approach helps analyze the conditions, opportunities and constraints for a disadvantaged ethnic group, the Basarwa people in Botswana, and points to specific activities which might facilitate development within that community (Scenario #5). Second, the SEGA approach is useful for identifying the most needy among displaced refugees in Sudan as the Adventist Development and Relief Agency (ADRA) launches its food distribution and assistance program (Scenario #6). Finally, in another context, use of the SEGA model can facilitate Oxfam America's work with minority farmers in Southeastern United States (Scenario #11). The SEGA approach helps both the community and the development agents to envision pathways to empowerment and transformation of social institutions.

In Part I of this manual, we have suggested that empowerment of the poor and disadvantaged is critical to achieving equitable and sustainable development. We also propose that empowerment enables priority groups to influence the macro-systems affecting their lives. In using the SARTHI experience to illustrate the SEGA approach, we look at the interactions among households, social institutions and resource bases in an Indian context. We examine the actions and interventions that mediate resource access for poor Adivasi women and look at the linkages enabling them to transform their lives and livelihoods. The SEGA approach, visualizes the relationships among people, social structures and the resource base. The use of this approach encourages understanding of the social factors determining access to and control over resources, as well as the possibilities of transforming relations through participation and empowerment.

Appendix
International Efforts to Define Development

In 1968 the World Conference on Agrarian Reform and Rural Development (WCARRD) held in Rome defined development as economic growth with equity through participation.[32] The Brandt Reports of 1980, *North-South, a Programme for Survival,* and 1983, *Common Crisis,* lamented the inequities between the industrialized North and the developing South and stressed the need for a vastly improved international climate for development cooperation while nevertheless focusing on objectives of economic growth.[33] The Conference on the End of the Decade for Women held in Nairobi in 1985 identified equality, development and peace as the main conditions needed to advance the status of women.

The Brundtland Commission prepared *Our Common Future* in 1987, emphasizing the necessity to integrate development and environmental concerns.[34] This report targeted overconsumption on the part of the rich and poverty on the part of the poor as causes of environmental destruction, and argued for a new era of economic growth. The UN Conference for Environment and Development (UNCED) held in Rio de Janeiro in 1992, emphasized anew the necessity of factoring environmental dimensions into development equations. The 1995 World Summit for Social Development in Copenhagen, Denmark worked to address today's worldwide social problems. The counterpart NGO Forum of the Social Summit articulated initiatives that put people in the center of development processes by focussing on the structural cause of inequities.

In 1992, the UNDP Human Development Report identified the main features of sustainable development as the following: poverty alleviation, population control, debt reduction, gender equity, human resource development, social equity, participation, peace and freedom, and the preservation and rehabilitation of the environment.[35] The Human Development Report of 1994 summarizes its new paradigm of sustainable development as giving highest priority to "poverty reduction, productive employment, social integration, and environmental regeneration."[36] The International Conference on Population and Development in Cairo (September, 1994) recognized that women's empowerment is central to sustainable development. The UN's Fourth World Conference on Women held in Bejing (September, 1995) was an affirmation of women's rights as human rights. In addressing poverty, health and violence against women, the Platform for Action highlighted women's lack of equal human rights in the socio-economic sphere.

Endnotes

[1] Chambers, 1994:1450. See his article on participatory rural appraisal for a discussion of new paradigms for development. The phrase "transforming the factors of impoverishment" was first introduced by Schneider, 1988:72.

[2] Chambers, 1994:1444.

[3] Chambers, 1994, "Participatory Rural Appraisal (PRA): Challenges, Potentials and Paradigm," in *World Development*. Thomas-Slayter, Barbara, Charity Kabutha and Richard Ford, "Participatory Rural Appraisal: A Case Study from Kenya," in K. Kumar, editor, *Rapid Appraisal Methods*. Washington, D. C.: The World Bank. 1993. pp. 176-211.

[4] Chambers, 1989. *Farmer First*. Conway, 1986. *Agroecosystem Analysis for Research and Development*.

[5] Connell, 1994: 18-19.

[6] We are indebted to the concept paper originally prepared by the Women in Food Production and Rural Development Service (ESHW) of the Food and Agriculture Organization of the United Nations, *Towards a Common Conceptual Perspective on Socio-Economic and Gender Analysis* (1993), and to the work of Dan Connell *Social- and Gender-Responsive People's Participation for a Field Manual on Project Identification and Formulation* (1994), Jeanne Koopman *Participatory Socio-Economic and Gender Analysis of Household and Community Issues for a Field Manual on Participatory Project Identification and Formulation* (1994), and Ben Wisner *Socio-Economic and Gender Aspects of Environment and Sustainable Development* (1994). All of the above works were commissioned by FAO and contributed greatly to conceptualizing the issues involved in addressing gender and socio-economic equity and sustainable development.

[7] Sen, "Gender and Cooperative Conflicts," 123.

[8] This illustration is based on an article by Madhu Sarin, "Wasteland Development and the Empowerment of Women: the SARTHI Experience," *Seeds*. 1993:1-19.

[9] Agrawal, 1995:1. This definition derives from that offered by Agrawal in his paper, "Institutions for Disadvantaged Groups."

[10] Connell, 1994:6.

[11] Goulet, 1971. See also Isbister, 1991:220.

[12] FAO, 1993:4.

[13] Wisner, 1994:3.

[14] See Ekins, 1992; Cernea, 1987.

[15] For a useful discussion of the concept of empowerment in the context of people's participation, see Connell, 1994.

[16] Freire, 1970; Schumacher, 1973. In the United States the Cornell Rural Development Committee pioneered both theoretical and empirical research in an effort to understand local organizations and local institutional development (e.g. Uphoff 1986; Uphoff, Cohen and Goldsmith 1979; Uphoff and Esman 1974). At Sussex University and the Institute for International Environment and Development (IIED) in the United Kingdom, scholar/activists including Robert Chambers, John Thompson, Ian Scoones, and others have conceptualized the issues and demonstrated with considerable empirical data the value of local participation and organization for increasing productivity, mobilizing labor, leveraging resources from the state, and fostering local self-reliance, independence, and democratic processes. For an excellent discussion of people's participation, see Connell, 1993.

[17] See, for example, Korten, 1981; Connell, 1994; Dharam and Ghai, 1992.

[18] Thomas-Slayter, 1994:1480; Chambers, 1990; Korten, 1990; Honadle and VanSant, 1985.

[19] Cernea 1987; Chambers 1983, 1990; Morehouse 1989; Sandbrook 1985; Wunsch and Olowu 1989.

[20] March and Taqque 1986; Mwaniki 1986; Nelson 1981; Staudt 1986; Thomas 1988; Wipper 1984.

[21] Koopman, 1994, p. 50.

[22] Putnam, 1994.

[23] Thomas-Slayter and Rocheleau, 1995.

[24] Polestico, et al., 1993, *CIPS on Trial.*

[25] UNDP, *Human Development Report*, 1994:4.

[26] There are many works of both a theoretical and applied nature which are relevant to analysis of the inequities within rural communities. We mention only a few. For both theoretical and applied works related to Africa, see Berry, 1989; Rocheleau, 1991; Staudt, 1986; Thomas-Slayter, 1992. For Asia, evidence is provided by Agarwal, 1992 and 1988; Everett, 1989; Kabeer, 1991; Shields and Thomas-Slayter, 1993. Latin American evidence is provided by Stonich, 1992; Urban and Rojas, 1994; Schmink, 1987. Some relevant studies without a regional focus include Collins, 1991; Leonard, 1989.

[27] The precise meaning of the term "household" varies by culture and context. We use it to define those who live together in the same dwelling (at least some portion of the year) and who share some or all resources to build a common livelihood.

[28] We define the term institution, both broadly and narrowly to include those practices, rules and relationships which organize a society or culture, as well as established organizations and social structures.

[29]As noted in the eighth endnote, this discussion of SARTHI is adapted from "Wasteland Development and the Empowerment of Women: the SARTHI Experience" by Madhu Sarin, 1993:1-19.

[30] Adivasi is a term used for India's indigenous, tribal peoples who generally live in more isolated, rugged mountainous areas. At that time, SARTHI worked specifically with Adivasi women in the Panchmahals District of Gujarat. According to Madhu Sarin in a communication of July 10, 1995, SARTHI has subsequently shifted its emphasis to include both women and men from the Adivasi community in its programs.

[31] A contextual analysis of the SARTHI Wasteland Development Project is included in Part II, page 154-155. This analysis details the context, conditions, causes, changes, constraints, and interventions within the project context.

[32] Ever since the WCARRD articulation of development as economic growth with equity through participation, there have been many programs initiated to show the key role of participation in the development process as a way of transforming power relations both globally and locally. One of these initiatives is a project Community Participation in Integrated Area Development launched in 1983 by FAO and the Center for Integrated Rural Development for Asia and the Pacific (CIRDAP) in cooperation with other host institutions in several Asian countries. One of the successful results of this project is the pioneering work done in the Philippines on the Community Information and Planning System (CIPS).

[33] Brandt, 1980 and 1983

[34] Brundtland Report, *Our Common Future*, 1987.

[35] UNDP, *Human Development Report*, 1992.

[36] UNDP, *Human Development Report*, 1994:4.

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Part II Participatory Strategies and Tools For Socio-economic and Gender Analysis

Introducing Strategies and Tools

In Part II we focus on strategies and tools for socio-economic and gender analysis in order to increase the effectiveness of development projects and programs. The tools show how differences in class, caste, religion, ethnicity, race and gender define individuals' rights, responsibilities and opportunities in accessing the resource base. Acknowledging these differences will permit community planners to include this information in project planning and formulation. The participatory tools discussed in the following section offer ways of organizing communities, gathering information, raising awareness, identifying stakeholders, assessing needs, formulating projects and effecting change. These strategies allow a more comprehensive understanding of a community's situation and encourage effective, equitable, and sustainable development.

Tools as guides

Before proceeding to the tools themselves, a word of advice might be useful. First, these strategies and tools are guides, not recipes. Tools should be modified to fit the cultural context or particular group. Facilitators should be aware of the level of analysis the community is ready for, and select appropriate tools for data gathering and project/program analyses and planning.

Tools in context: Managing meetings

There are a number of factors that can affect the successful management of meetings and, consequently, the effective use of strategies and tools. Although we address some of these in the individual tools, some logistical factors apply in all situations. We address some of these such as place, time and context below.

- **Location** of the meetings will influence who attends: disadvantaged members of a community living in outlying areas may have difficulty in attending meetings held in a central location.

Rotating meeting sites to different locales in the community will help to include those who might otherwise have been missed.

- Reaching agreement on a **time** to meet can be frustrating. Certain people are available when others are not. Remembering that time is gender-defined can forestall frustration. Women and men are not available at the same times due to different family and work responsibilities.

- **How** a meeting is started is critical in engaging participants. For example, since participatory icebreakers are considered mandatory in some cultures, the facilitator(s) should be prepared with ideas on how to start the meeting.

Paying attention to **seating arrangements** of participants at a meeting will also make a difference in the amount and quality of their involvement: rows of chairs facing a podium may intimidate participation, whereas chairs arranged in a circle or horseshoe will make members feel a part of the proceedings.

Facilitators should be attuned to the fact there are often **sensitive issues and injustices** which may not emerge in overt ways in standard group format. Such issues may include violence against women and children or reproductive health issues for women. Facilitators can be receptive to subtle ways in which people may identify a problem and choose a way to address it in a culturally appropriate manner.

The issue of providing **incentives** to those attending meetings is a controversial one. On the one hand, community organizers do not want to raise the participants' expectations that attending meetings will be rewarded with a "free lunch" or a snack. On the other hand, community workers will want to recognize the contribution of participants in a concrete way, for example, by handing out certificates of participation. Certificates give value to the workshop, training session or meeting, provide tangible symbols of participation and legitimize participants' work and time. Facilitators can make decisions on appropriate incentives according to the local context.

The processes involved in community-building are not instantaneous. Community-building is not unlike the construction of a

structure: brick by brick or board by board. The SEGA approach and tools in this manual are intended to be the bricks and boards with which communities are built. They are to be used over years in a development process.

The strategies and tools in Part II have been loosely gathered into six categories, although many of the tools can be useful across categories in a number of contexts. A brief description and an index of tools precedes each category. The categories are as follows:

A. Organizing strategies
B. Gathering information and raising awareness
C. Defining roles and priorities
D. Assessing needs and identifying projects
E. Planning and project formulation
F. Strategizing for change.

A Organizing Strategies

Section A specifically deals with organizing strategies. Building the capacity of community members to participate actively in a group setting is essential to equitable and sustainable development. Facilitating groups, building leadership, making decisions by consensus, managing conflicts, and using audiovisual tools can be effective ways to engage group participants in the community organizing and development processes.

1 Facilitation*

Enhancing the active participation of people in a group setting is an essential community development skill. How much participation takes place is governed in large part by the facilitator. To **facilitate** means to **make easier**. It is the task of the facilitator to make discussion easier, to make it flow, and to enable the participants to learn from each other. The facilitator helps the group arrive at understandings and decisions that are its task.

The role of the facilitator is one of assistance and guidance, not of control. Getting feedback is fundamental to everything the facilitator does. The direction and focus is always received *from the group.*

Co-facilitation

Experiences in field testing the manual both in the Philippines and Costa Rica showed that **co-facilitation** was key in improving the quality of the process. Whenever possible we recommend having male and female co-facilitators, men and women having different perspectives and ease of working with various groups. It is especially helpful to have one of the co-facilitators be from the local community. This will:

- encourage development of skills;
- address issues of immediacy; and
- ensure follow-up in a particular community

Managing meetings can be hard work, but the burden can be lightened when shared with a team member. A compatible team provides a balance and synergy that creates energy and enthusiasm in meetings.

How to stimulate active participation

Active listening: Listening attentively and asking open questions encourage participants to expand on their theme. Active listen-

*Adapted from Catherine D. Crone and Carman St. John Hunter, n.d., *From the Field: Tested Participatory Activities for Trainers*, p. 56. GENESYS Project, USAID Training Manual, 1994, *Gender and Sustainable Development*, p. 4. M. Avery *et al.*, 1981, *Building United Judgement*, pp. 51-58.

ing also involves watching the participants for non-verbal cues, such as facial expressions and posture.

Asking open questions. Open questions invite reflection and encourage people to talk. Questions that ask: *What do you think about..., Why..., How..., What if...* will elicit thoughtful answers.

> **Note:** An open question may not work as a discussion starter with people who are not used to expressing their opinions freely in a group.

Closed questions call for a brief, exact reply. They limit discussion by discouraging expression of attitudes related to the topic. **Note:** Closed questions, however, can focus discussions on a specific point and can help the facilitator check whether or not the group understands the content and agrees with content ideas.

> A closed question: *Is this a helpful discussion?*
> An open question: *What do you see happening here?*

Rephrasing participants' comments. Rewording the participants' comments allows the facilitator to clarify if s/he understands what someone is saying and reinforces points that the participants bring up.

Equalizing participation. Some group members may speak more or less than others based on their:

- interest in the subject
- knowledge of the issues
- confidence in speaking in groups
- self concept as affected by sex, age, class, etc.

The facilitator should be sensitive to these factors by including more silent group members and asking dominating participants to refrain from speaking at times.

Redirecting discussion. When a group leader is asked an open question it is sometimes a good idea to offer it to the group for an answer.

Summarizing the discussion: This consists of reviewing the main points, restating what decisions have been reached or which issues are still to be clarified.

Assuming a friendly manner: Reacting to what people say by nodding, maintaining eye contact or smiling shows that the facilitator is listening attentively.

Managing conflict: Disagreement is a natural part of the group process. If disagreements are focused on ideas and issues, they can become a part of the creative process of group interaction. If, however, criticisms are leveled at individuals personally, they can be very destructive. The facilitator should interrupt the attack and help participants re-focus on the issues. For more information, see **Conflict Management** (Tool #4).

A good facilitator...

- **Keeps the group focused on task and process**
- **Listens more than talks**
- **Remains neutral**
- **Encourages everyone to participate**
- **Keeps discussion going by asking questions or introducing new ideas**
- **Acknowledges differing viewpoints**
- **Is alert to sensitive issues**
- **Speaks clearly and slowly**
- **Maintains eye contact**
- **Summarizes main points and decisions made or issues resolved at close of session**

2 Leadership*

Old paradigms give us static models of leadership that are resistant to questions and unresponsive to the needs of the disadvantaged. They also give us models of decision-making that are based on the wishes of the few. These hierarchical models are based on a directive style of leadership – a style that directs decision-making instead of one that invites participation from members (See Leadership Styles chart below). In this section we look at leadership: What it is; how it can be fostered; participative leadership roles; benefits of shared leadership; and different leadership styles.

A leader is one who urges people to work on a task, engaging with people in facing up to important problems and in helping the group meet its goals. Leadership is essential in getting work done. It inevitably emerges in groups, no matter how democratic the group, especially whenever there is a perception of time constraints. Even if leadership roles are not formally acknowledged, they will surface in some form.

Recognized leaders are more effective when they:

- obtain clear mandates from the group;
- receive support and affirmation; and
- are open to feedback on their performance.

Leadership need not be confined to one particular person. Most shared leaderships are based on one of two models: 1) the roles are clearly delineated and portioned out to participants; or 2) a number of leadership roles rotate within the group. Rotating leadership can help more people develop skills and foster undeveloped abilities. Thus, the group will not become overly reliant on one or two individuals to function effectively. In addition, empowered participants will be more confident about experimenting, rather than conducting business as usual.

Leadership Roles

The following are among the different leadership roles that can be distributed or rotated among group members in meetings:

*Adapted from K. Shields, 1994, *In the Tiger's Mouth*, pp. 90-100. N. Magnani, 1991, *Building Organizational Effectiveness Through Participation and Teamwork*, p. 48.

- **Facilitator(s)** keep the group on task and maintain group cohesion. See **Facilitation** (Tool #1).
- **Notetaker/Recorder** keeps track of decisions, takes minutes, collects reports and draws attention to incomplete decisions.
- **Timekeeper** keeps the group to an agreed time frame.
- **Convener** is responsible for the mechanics of meetings: the venue, equipment, refreshments, and notices for the meetings. Having this as a separate role frees the facilitator to concentrate on the content.

Leadership Styles

The chart below depicts the extremes of leadership styles. Most leaders' styles fall somewhere along the spectrum of the **directive <–> facilitative style**. Also, leadership style is not a fixed condition: As a group grows and moves through various stages, the leader's role needs to grow and change also. For example, group leaders may start out as more directive, but, as the group takes on more responsibility, they may become more facilitative.

Table 2.1. Spectrum of Leadership Styles

Directive: Top-down	Facilitative: Participative
Leader sets goals for group.	Group members set their goals.
Leader outlines activities for group members.	Group members discuss and select program activities.
Leader makes decisions.	Facilitators promote consensus building.
Leader follows schedule closely leaving little time for discussion.	Facilitators foster group work, even though it may be more time consuming.
Leader praises individual accomplishments.	Facilitators engage group in self-evaluation sessions.

Leadership Checklist

Different groups and styles of leadership will suit different situations. In any group, it is useful to ask:

- *What style of leadership does the group have? Does it suit the function of the group efficiently, enabling it to reach its goal?*
- *Who has the power and influence in the group? Is it official or unofficial?*
- *What would happen if key people were to leave the group?*
- *What leadership roles can be rotated and what else can the group do to share and spread leadership?*
- *How are leadership skills fostered among participants?*
- *How are leaders supported by the group?*

3 Consensus Building*

Consensus decision-making can be a powerful tool for building group strength and cohesion. Consensus stresses the development of a decision with group members working **cooperatively** rather than competitively. Every member must consent to the decision before the group can adopt it.

Consensus requires a group that is willing to work together and take responsibility for following through with decisions. Since many people have learned to assume a competitive attitude and to expect the same of others, changing to a cooperative approach can be risky.

At times a group can be dominated by a few intimidating members who block consensus to boost their own power. Also, some group participants may become exhausted by the lengthy process and repetitive discussion. Consensus is not appropriate for all groups. Below is a list of pre-conditions that should help leaders in assessing their group's readiness to use consensus.

Group Pre-Conditions for Consensus

- **Unity of Purpose:** Group members have a basic agreement within and about the group.
- **Equal access to power** for group members: All members should have the opportunity to participate equally regardless of seniority, position, etc.
- **Autonomy**: The group should be independent from external hierarchical structures.
- **Time**: Developing consensus requires much time spent on group process and making decisions. Therefore, the group should be ready to invest the necessary time.
- **Willingness to work**. Members must be willing to:
  - attend to the process, tasks and decisions
  - examine their own attitudes and prejudices

*Adapted freom M. Avery, 1981, *Building United Judgement*, pp. 1-47. K. Shields, 1994, *In the Tiger's Mouth*, pp. 95-99.

- learn and practice those skills necessary for the working of the group.

Decision-making approaches

In a continuum of decision-making, consensus takes its place at one extreme of highest participation and involvement from the most people. Below is a chart that provides characteristics of other decision-making approaches, the level of participation and advantages and disadvantages of each.

Participation	Advantages	Disadvantages
One person	Convenient/Simple	No interaction/No involvement
One person consulting with group	Understanding of issues by group	No opportunity for feedback from group
A few key leaders	Quick decisions Some interaction	Exclusion of larger group
Whole group	Group participation and interaction; Group decision	Competitive; Exclusion of timid members; Tendency to expedite decisions; time consuming

Majority Rule vs. Consensus

Majority rule is the decision made by choosing a solution which is acceptable to more than half the entire group, with each person having equal power. Majority rule is often held up as an ideal form of decision-making because the power lies with the whole group rather than one or a few people. Yet, majority rule involves winners and losers: You "win" if you get the most people voting on your side. So, although in theory everyone may participate, this win/lose approach is less democratic than it seems because the minority can easily be outvoted.

In contrast, the goal of consensus is group unity: every participant is considered important and the group tries to listen and respond to each person. This does not mean that everyone must agree with the final outcome. The decision must be acceptable enough, however, that all will agree to support the group in choosing it.

Model for Consensus

There is no single correct method for bringing about consensus. Below is one step-by-step model of how a decision may be developed in consensus groups.

- Set the agenda at the beginning of the meeting.
- The facilitator (or other member) introduces an agenda item including what is being discussed, what has to be decided and background information.
- Group discussion follows. Individuals build on the previous statements and listen to and respond to each other.

The facilitator has a pivotal role in the discussion: keeping it on track, clarifying complicated or confusing points and summarizing agreements and differences. See **Facilitation** (Tool #1).

- When most viewpoints have been expressed, the facilitator will test for consensus by asking whether there is any other discussion on the subject.
- The group responds by agreement or disagreement. Discussion on disagreements continues until a decision is endorsed by the participants as a whole. The decision that is reached may not completely satisfy everyone in the group, but it must be one that all participants are willing to live with. If serious objections still exist, then a decision is not made.
- Implementation of decisions are clarified and follow-up strategies are chosen.
- Sometimes the group is unable to make a decision based on available information. In that case deferring a decision until there is more data and more discussion will increase the possibility of reaching consensus.
- In certain cases, some members may decide to expedite the decision or to concede for the sake of the group. (A group should never pressure individuals to do so or the result will not represent a true consensus decision.)

4 Conflict Management*

Conflict is a natural and necessary part of group interaction. In fact, if there is little or no conflict in a group, members may be holding back some of their real thoughts and feelings. Conflict that is suppressed can lead to smoldering resentments that might erupt in the future. While it is true that too much conflict can be destructive, handled properly, conflict can be constructive, leading to greater clarity and growth.

Guidelines for the facilitator responding to conflict

- **Accept conflict as natural.** Treat conflict as an opportunity to examine the issues involved in depth.

- **Bring hidden conflicts out in the open.** If you see signs of unexpressed disagreement, ask those involved what they are feeling. Sometimes the absence of visible conflict among group members can be an even greater problem: Many groups perceive lack of conflict as an indication of agreement or good meeting process. "Niceness," though, can mask real disagreement, leaving it to fester under the surface. In such a case the facilitator might say:

  "I sense that we're not addressing all the issues."

  or

  "In my experience it is unusual to find total agreement on a subject as important as this. I suspect there's more here than people are saying so far."

  If the tension is high, but people aren't talking, simply saying *"What's going on here?"* might open things up. Try these approaches when you suspect the group is suppressing important issues, but don't pursue conflict for its own sake.

- **Disagree with *ideas*, not with people.** Do not allow participants to accuse or blame each other.

*Adapted from M. Avery et al., 1981 *Building United Judgement*, pp. 77-84.

- **Focus on issues central to the conflict.** This may have the effect of escalating the conflict, but it is a necessary step to understanding disagreements.

- **Call for quiet time when the atmosphere is too argumentative.** Sometimes arguments get so heated that participants are no longer listening to each other. Take a break, ask for a few minutes' silence, or suggest that people count to ten before responding to a previous speaker.

- **Remain neutral** as long as possible. An impartial facilitator can better watch the process of the meeting and help see that the guidelines are being followed. Do be aware of your opinions and feelings, however; the more clearly you can express what is important to you, the better you will be able to negotiate with others.

- **Schedule a special meeting for addressing deadlocked discussion.** A special structured meeting or retreat led by a neutral facilitator can help to deal with a stalemate.

Dealing with Conflicts

There are two methods the facilitator can use in dealing with conflicts: problem solving and mediation. Problem solving techniques use the basic principles helpful in any good decision-making process. When a group is locked in conflict, a formalized, step-by-step process can provide a framework for approaching the situation in a constructive way.

1. Problem Solving

Step 1: Set up a special meeting. Call for a neutral person to facilitate the meeting.

Step 2: Clear the air. Hostility between the parties must be dealt with first. The process works most effectively when the conflicting parties agree on the end goal.

Step 3: Define the problem as ***shared***, not the fault of, or belonging to, one "side" in the conflict. Define the problem in

terms of **needs**, not in terms of a solution. This will help participants to focus on the problem, not the solution.

Sept 4: Analyze the problem. Get as clear an understanding of the background of the problem, not arguing about who is right or wrong, and not pursuing solutions.

Step 5: Brainstorm solutions. Every participant should offer every single idea s/he can think of for responding to the problem. Ideas should not be evaluated at this step. Create a criticism-free atmosphere, encouraging people to generate a quantity of ideas.

Step 6: Evaluate the solutions offered during the brainstorm.

- What needs does each solution fill or not fill?
- What does implementation of different solutions involve?
- What are the outcome of different courses of action?

Step 7: Make a decision.

- How will the solution be implemented?
- How will it be reviewed and evaluated?

2. Mediation

Mediation is another method to confront conflict in a structured way. Mediation uses many of the skills discussed above, but is a more involved process and best applied under the guidance of a **neutral** and **trained** mediator.

Mediation is appropriate when relations among two or more people are strained to the point that individuals are unable to work together. The people involved are willing to negotiate toward some common goal, but feelings of anger, hurt, or frustration are interfering with their ability to do their own problem solving.

The goal of mediation is to discuss the problem openly, air the feelings, and agree to specific changes. The process can be extremely powerful as a problem-solving tool for people who have reached an impasse in interpersonal conflict. The mediator can

create a safe atmosphere in which to speak to each other while encouraging the expression of strong feelings that have been impeding progress in the relationship.

Training in mediation techniques is beyond the scope of this manual. The following offer excellent instruction on this effective skill:

Roger Fisher, *et al.*, *Getting to Yes: Negotiating Agreement Without Giving In*. New York, Penguin, 1991.

Kenneth Kressel, *Mediation Research: The Process and Effectiveness of Third Party Intervention*. San Francisco: Jossey-Bass, 1989.

Christopher Moore, *The Mediation Process: Practical Strategies for Resolving Conflict*. San Francisco: Jossey-Bass, 1986.

Ford Foundation Report, *Mediating Social Conflict*. New York: Ford Foundation, 1978.

Notes to the Facilitator

All conflict management techniques work on the assumption that hostile parties, no matter how frustrated, are willing to work toward a common goal. Mediation and problem solving can help people cross ethnic, gender, class, caste or religious boundaries. However, if conflicting parties do not share the same vision, problem solving or mediation techniques cannot resolve basic differences.

The culture of the participants will dictate what people feel about conflict. In some instances it may be very difficult to bring unexpressed disagreements out in the open. Recognizing these challenges and acknowledging cultural differences may help participants voice their feelings about conflict.

5 Audiovisual Aids

Using different audiovisual (AV) materials can be a powerful way to engage group participants in discussion. It can also help a community see itself in a new way. A PRA experience in Lesoma, Botswana, for example, points to the excitement that video generated in that community. Initially, few people were interested in the PRA, but when a video was shown, upwards of 300 people (in a village of 250) attended the viewing of a data gathering exercise.*

Many of the tools in this manual can incorporate AV aids to strengthen the process and the outcome. For the sake of brevity our discussion will focus on the use of the following AV aids: poster board/newsprint and markers, and blackboard and chalk; flannel boards; tape recorders; photographic cameras; video cameras and VCRs; and indigenous forms of expression.

Purpose

The use of AV aids can help groups in fulfilling their task, whether it be to gather data, identify needs, resources and stakeholders, plan and implement projects, or to evaluate programs. In addition, AV materials can enhance group discussions by providing participants with:

- an audiovisual record of the group process;
- an opportunity to interact creatively;
- a chance to learn how to use various media;
- immediate feedback, especially in the case of cassette recordings, Polaroid photographs and video; and
- a chance to broadcast their stories beyond local boundaries

Process

Before using AV aids, the facilitator or group leaders should ask the following questions:

- *What is the goal of using a particular AV tool in this particular group setting?*
- *Who will handle the equipment?*
- *What role will participants play in producing the output?*
- *How will the product (poster, photographs, cassette tape, video) be used?*

*Ford, *et al.*, 1993, *Managing Resources with PRA Partnerships*, pp. 45-46.

- *How will this improve the project? What would the project be like without the AV aids?*

Factors Affecting AV Use

The following factors must be taken into consideration in deciding to use different AV aids:

- **Illiteracy.** Using stories, song, dance, flannel boards, photographs, tape and video recordings can be very effective with illiterate populations or with people who have rich oral traditions. On the other hand, the use of tools dependent on literacy, such as blackboards or newsprint exclude illiterate and marginalized people – exactly the population that this manual intends to reach.

- **Group size.** Posters, blackboards, and photographic slides are suitable for use in large groups, whereas tape recordings and video are more effective in small groups.

- **Confidentiality.** The use of a video or photographic equipment or tape recorders may be inappropriate when group discussion centers on sensitive subject matters. Permission to record must be obtained from all participants present.

- **Complementarity.** A number of aids can be used together to complement each other. For example, a flannel board can be used in conjunction with video or tape recording to ensure that abundant details are not lost.

Table 2.2. Advantages and Disadvantages of AV Aids

Audiovisual Aid	Advantages	Disadvantages
Indigenous Forms of Expression	Reliance on local talent & resources; Popular with audience; Respect for tradition	May be difficult for outsiders to interpret
Posters/Newsprint/ Markers	Inexpensive; Portable; Easily available	Literacy/numeracy required unless symbols are used
Blackboard/Chalk	Inexpensive Available in school	Same as above; Not portable; Difficult to record
Flannel Board	Inexpensive; Easily available Moveable figures	Difficult to record; Not portable
Camera	Permanent record Slides can be projected for large audiences	Film processing, batteries & some training required Confidentiality issues
Cassette recorder	Inexpensive; Immediate feedback; Useful in recording oral folklore	Confidentiality issues Tape fragility; Not suitable for large groups; Batteries required
Video camera/VCR	Immediate feedback; Useful in recording audiovisual lore; Effective with the disadvantaged; Useful in activity documentation	Can be distracting; Expensive; Confidentiality issues; Tape fragility; Requires power

B Gathering Information/ Raising Awareness

In many development efforts, academicians or technical experts are the ones to gather and analyze information, while the people look on. Tools that promote participation in gathering data are key to raising people's awareness of problems and enabling them to analyze causes and find solutions. The following tools enable villagers to do their own assessments by collecting and compiling data on situations in their own locale.

Social Data

Time-related and Spatial Data

6 Interviews*

Interviewing is a data-gathering method where the respondent addresses a set of questions posed by the interviewer. Interviews can relay information about physical data such as household composition, divisions of labor, and livelihood sources. Interviews can also be used to learn about people's perceptions, values, and attitudes. The two main types of interviews are structured and unstructured. Structured interviews are conducted with a set of formal questions to which succinct answers may be given. Unstructured interviews ask open-ended question to which respondents are encouraged to give detailed answers. Interviewers may probe respondents' remarks for further details or directions. When a community is not easily approachable, unstructured interviews can be an entry point into light conversation that familiarizes the researcher and respondent and can lead to continued casual exchanges.

Purpose

Interviews allow researchers to gather detailed information about how respondents frame their livelihoods, lifestyles, problems and priorities. Community-wide patterns and trends can be extrapolated from this data. Controlling for gender, age, class or other social variables offers a truer representation of the community as well as a means to compare groups. Interviews offer researchers or community organizers a chance to talk with residents who might not normally be included in meetings.

Process

1. Researchers in rural communities should make their purpose clear to the community or neighborhood as a whole. The residents of the community should be offered an opportunity to ask questions and to decide whether they would like to participate in the project.

2. Men have traditionally been disproportionately represented in interviews. Consideration should be taken to insure that women and other marginalized groups are represented so that their views and voices can be heard. To ensure that the views of all

*Source: Adapted from the World Education Publication *From the Field* , 1980; pp 45-48; Thomas-Slatyer *et al* ., 1993, *Tools of Gender Analysis,* pp 10-11; and Dawson *et al., A Manual for the Use of Focus Groups,* 1993.

socio-economic groups are represented, you may wish to first do the **Wealth Ranking** exercise (Tool #8) and then draw names randomly from within each socio-economic group.

3. Interviews with individuals should be scheduled to suit the respondent's availability.

4. Interview style and content will depend upon the data needs of the particular project but here are some interviewing guidelines that the researcher should bear in mind:

   - make clear the purpose of the interview and how the results will be used before beginning a session
   - assure the respondent of absolute confidentiality
   - do not record names or include personal information that can be directly attributed to the respondent
   - maintain a receptive demeanor - show interest in responses and give encouragement during the interview to establish a rapport
   - speak clearly and at an even pace - be ready to restate or clarify questions if asked
   - do not ask threatening or challenging questions - should a respondent not want to answer a particular question, move on to the next question but take note about the circumstances and reaction of the respondent
   - watch for verbal and non-verbal cues that the respondent is uncomfortable answering - do not pressure respondents for answers

5. A brief casual conversation with the respondent before and after the interview is completed can help to foster feelings of a positive exchange.

Materials

- Paper and pencil
- Copies of the interview
- Tape recorder (optional)

Notes to the Facilitator

Tape recorders may make respondents uneasy and hamper responses that are controversial or thought to be contrary to the interviewer's bias. Respondents should only be recorded with their full consent and if it is not possible to write responses.

It is not uncommon in small communities for people to gather to observe the antics of a researcher or project team. The venue for interviews should offer some privacy so that answers are not influenced by the scrutiny of a crowd.

The aggregate results of the interviews can be made available for community analysis and used as a means of empowering communities to analyze their own data.

Example

Administering Formal Interviews in the Dominican Republic*

As part of a multi-method field study** on a social forestry project in the Dominican Republic, an ECOGEN research team conducted a formal interview based on a random sample of adult male and female members of a peasant federation. We had decided to administer a formal questionnaire only to confirm our findings generated from the qualitative methods, and to give our conclusions and recommendations legitimacy to natural resource managers and biological scientists. The formal survey mirrored the types of questions we asked during earlier stages of research–including questions about the respondent's birth family's history of migration, position in his/her conjugal family, their roles in resource management and agriculture, as well as their opinions of the forestry project, and the future of the Federation. The questions were also designed to gather "factual" information about the household (i.e., size of landholdings, species of trees present in different land use units or number of timber trees planted).

Above and beyond confirming our findings, however, the process of generating the random sample and conducting the surveys revealed household situations that had previously been invisible to us and social categories that were underrepresented in the Forestry Enterprise Project. For example, it was not until we conducted the final survey that we became keenly aware of the number of younger families who lived on small residential plots and depended on off-farm work or on farm family (parent's), rented or sharecropped land. We visited many young women (from women's club lists) who were

* Excerpted in part from, D. Rocheleau, and L. Ross, forthcoming ECOGEN case srudy. *Gendered landscapes, gendered lives: Maps and life histories in Zambrana-Chacuey, Dominican Republic* and D. Rocheleau , "Maps, Numbers, Text and Context: Mixing Methods in Feminist Political Ecology". Forthcoming in *Professional Geographer.*

**D. Rocheleau and L. Ross combined several data collection activities: attendance at formal meetings; group interviews; focus groups; household histories, labor calendars and mapping exercises; key informant interviews; personal life histories; as well as the formal survey of a random sample drawn from the adult members of the Federation.

the main farmers in the household and whose family's contact with the project came through their women's club membership. There were also a number of people in the final sample (identified as "not really farmers" by promoters) who make a living by regular marketing trips to the capital to sell produce from their communities at retail markets and on the street and who also often had planted some trees. In addition we met three men who are members of the Federation, farm their own small plots, and make a living as caretakers of large holdings of absentee owners. All of these latter groups have some stake in the Forestry Enterprise Project, but were generally invisible to staff at ENDA (Environmental and Development Alternatives, an international NGO), Federation leaders, other national policy makers, and, initially to us.

In addition to making the invisible visible, the questionnaire was a particularly effective and informative tool because we incorporated the farm sketching exercise into it. In the context of a two-hour interview, we drew pictures of the farm based on direct observation, a narrative recounted by each respondent, as well as prompts and questions made as necessary to complete the drawing and fill in a list of species and land use information on the questionnaire. The final result provided ample background and vocabulary to discuss the gender division of labor, responsibilities, access, use and control as well as gendered knowledge and values associated with the plants, animals, places, products and processes depicted in the image. The resulting image also provided a template for further coding and quantification of information derived from the picture after the fact.

7 Focus Groups*

A focus group is a small group meeting to discuss a specific topic in an informal setting. A facilitator leads the discussion encouraging all present to offer their ideas and opinions. A record keeper may keep track of the exchanges.

Purpose

Focus groups are helpful in gathering data. Many of the tools in this manual rely on information gathered in group discussions. Focus groups are useful, for example, in generating history time lines, diagrams of men's and women's perceptions of community organizations and trend lines for resource issues such as rainfall, crop production, population, deforestation and health.

Process

1. **Logistics**: Establish time, place and topic for discussion a few days ahead of time.

2. **Participants**: Group members can be from the same neighborhoods, formal or informal community organizations and government or community-sponsored projects. Meeting with men and women in separate groups may bring out issues obscured in joint meetings. It is also helpful to listen to individuals from different age groups, ethnic groups or classes.

3. **Group leaders**: It is best to have two people to conduct the focus group: one to facilitate the discussion, the other to record information. Group leaders should be introduced to participants by community members.

4. **Optimal length**: between one and two hours.

5. **Opening statements**: each participant may make an individual, uninterrupted statement about themselves.

*Source: Adapted from B. Thomas-Slayter *et al.* , 1993, *Tools of Gender Analysis*, p. 12. Stanley and Jaya Gajanayake, 1993, *Community Empowerment*, p. 27.

6. **Discussion Format:**
   - **Unstructured:** discussion centers around 1 or 2 broadly stated topic questions, or
   - **Structured:** facilitator uses 4 or 5 questions (written up before the meeting) as a guide, with more specific probes under each major question.

7. **Formulating Questions**
   - Decide on the information you want
   - Use simple language
   - Be sure the meaning of the question is clear
   - Keep questions short: Do not have several parts to each question
   - Do not word questions in a way that people are made to feel guilty or embarrassed
   - Avoid using too many "why" questions: they may sound like an interrogation

8. **Role of the Facilitator**
   - **Low involvement.** The facilitator:
     a. presents initial topic followed by unstructured group discussion
     b. introduces second topic, based largely on what points have already been raised
     c. allows discussion to come to an end on its own

   - **High involvement.** The facilitator:
     a. maintains clear and consistent order by application of a guide throughout the discussion. S/he may find it helpful to:
        - begin the structured discussion with a general question, not intending to get a full answer, but to set up an agenda of topics within the limits of the guide.
        - hold off comments which don't quite fit in a particular stage of the discussion, but reintroduce them at a logical point; i.e. *"I recall that some of you mentioned something a little different earlier, and I wonder how that fits into what we are discussing now."*

b. Ends session with final summary statements from participants.

Advantages of Focus groups

- Produce a great deal of information at low cost
- Are an excellent way to obtain information from illiterate participants
- May reveal a range of attitudes and opinions that might not come out in a survey
- Are well accepted by the residents in a community as they make use of group discussion – a form of communication found naturally in most communities
- Can be good fun

Limitations of Focus Groups

- They require well-trained facilitators
- Results from discussion cannot usually be used to make statements about the wider community
- Participants often agree with responses from fellow members
- Focus groups have limited value in exploring complex beliefs and issues

Materials

- List of guide questions for facilitator
- Notebook and pen for record keeper
- Large paper for charts
- Colored markers for diagrams and time lines
- Circles of various sizes needed for community institution

Notes to the Facilitator

A focus group requires a competent facilitator to keep discussion on track. The facilitator will need to foster interactions that explore the participants' feelings in some depth. Open questions (why, what and how) will elicit much information and keep discussion going. S/he will need to be prepared to:

- clearly explain the purpose of the discussion
- include all participants in the discussion
- assure that the full range of voices is heard
- make sure that certain interest groups do not dominate the discussion

- be conscious of existing divisions within a particular group
- be aware that the group will not work if participants do not trust one another

For more on leading group discussions, see **Facilitation** (Tool #1).

In the case that there is no record keeper, a cassette recorder or video camera may be used, *if* the group finds it suitable and *if* the topic is not sensitive.

This tool is also helpful for role definition, project identification and project formulation.

Example

Focus Groups in Pwani, Kenya*

Pwani, located on the periphery of Lake Nakuru Park in Kenya's Rift Valley Province, is a recently populated resettlement village. It was the first of several sites in the region in which Participatory Rural Appraisal exercises were conducted in 1990. Pwani was selected as a PRA site for primarily two reasons: 1) it is representative of settlement communities which have experienced stresses in natural resources management; and 2) it represents a situation encountered throughout the world by communities located adjacent to parks. Subsequent gender-focused research in Pwani addressed questions raised within the broader context of PRA.

Focus group interviews and discussions can show priorities for community action based on gender, class, caste, race, ethnicity and religion. In Pwani, the problems identified by male leaders in the community, such as bad roads and lack of access to markets, did not consider women's issues. The PRA exercises did not reveal the extent of the fuelwood problem until women had an opportunity to meet separately in a focus group to discuss issues of concern to them, such as the scarcity of fuelwood.

*Adapted from Dianne Rocheleau *et al.*, 1991, *People, Property, Poverty and Parks*, pp. 3-13.

8 Wealth Ranking*

Wealth ranking is a card sorting exercise to generate information from key informants about socio-economic distinctions among residents of a community. Wealth is regarded as more than an economic attribute of a person or household. The exercise identifies other indicators of "wealth" including social status, power and authority, education, and access to both local and wider resources.

Purpose

Wealth ranking can assist the researcher to devise a sample of households which is representative of the community's different socio-economic groups. It also enables the facilitator or program coordinator to grasp the full range of socio-economic characteristics of households within a community, as viewed by residents of the community themselves. Important indicators about socio-economic strata within the community are thus determined by both male and female residents, and not by the researchers or facilitators.

Process

1. Obtain the names of all households or a random sample of households. It is best to work with no more than 100. Write each name on a small card and give it a number to facilitate later calculations.

2. Clarify the meanings of words in the local language which are important to this exercise, such as "community" and "household." Discuss local concepts of wealth and well being. Decide on the words or phrases to be used.

3. Choose informants. Each informant should be interviewed independently. About four or five should suffice, including both men and women. Choose informants, as much as possible, to represent a cross-section of the community in terms of gender,

*Source: Adapted from Barbara Grandin, 1988, *Wealth Ranking in Smallholder Communities: A Field Manual.* Also described by her in Feldstein and Jiggins, *Tools for the Field*, 1994, pp. 21-35. Thomas-Slayter, Esser and Shields, *Tools of Gender Analysis*, 1993, pp. 8-9, and Shields and Thomas-Slayter, 1993, *Gender, Class, Ecological Decline, and Livelihood Strategies: A Case Study of Siquijor Island, The Philippines.*

age, socio-economic status, and agro-ecological zones.

4. Find a quiet place to interview each informant. Explain the nature of the work and its purpose. Indicate that you are exploring what characterizes different levels of well being in this community, and how problems may differ among social groups.
5. Ask the informant to separate cards with family names into piles according to the interviewee's notion of the household's level of well being. Households placed in the same pile should have comparable levels of wealth or well being. Explain that the informant can make as many piles as he or she wants and can change the number in the course of the exercise.
6. One by one the interviewee puts cards in piles. If more than 40% of households are in a single pile, ask the interviewee to subdivide.
7. In the follow-up discussion with the interviewee, ask him or her about the characteristics associated with each pile the informant has made, and why the cards were placed in this way. Ask the informant to identify what characterizes those households in a given pile, generally, and how they might differ in terms of the specific goals of the project or research. The interviewer should record this information.

Analyzing the data*

1. The information obtained may be used informally for project planning, or it may be used more formally to create a random sample for interviewing.
2. After each exercise, make a list of households classified under each pile. If informant number 1 has sorted the households in five piles, assign number 1 to the richest and number 5 to the poorest., Numbers 2, 3, and 4 are assigned to the not-so-rich, middle, and not-so-poor categories, respectively. If there are four categories, number 1 will be assigned to the richest, and number 4, to the poorest.
3. Compute the average scores for every household using the formula found on the next page.

*Source: Adapted from The TriPARRD Technical Committee, 1993, *A Manual*, pp. 96-97.

$$\frac{\text{Category number x 100}}{\text{Number of categories}}$$

Example 1: Informant number 1 made five piles/categories. The score for the richest will be computed as follows:

$$\frac{1 \times 100}{5} = \frac{100}{5} = 20$$

Therefore, each card in the "richest" category of five piles will be assigned a score of 20.

The score for the poorest will be computed as follows:

$$\frac{5 \times 100}{5} = \frac{500}{5} = 100$$

Each card in the "poorest' category of five piles will be assigned a score of 100.

Example 2: Another informant made four categories. The score for the richest will be computed as follows:

$$\frac{1 \times 100}{4} = \frac{100}{4} = 25$$

Each card in the "richest' category of four piles will be assigned a score of 25.

The score for the poorest will be computed as follows:

$$\frac{4 \times 100}{4} = \frac{400}{4} = 100$$

Each card in the "poorest" category of four piles will be assigned a score of 100.

4. Repeat the process with all your informants. Then, compute the average score for each household by adding all the scores given

by the informants which will be divided by the number of informants. The bigger the average score, the lower the category or ranking of the household, e.g., households with scores ranging from 90 to 100 will emerge as the poorest. The richest will be those with lower scores, probably ranging from 20 to 40.

5. Categorize the households into "rich," "middle," and "poor" (or into whatever categories that will emerge). The closeness of the resulting average scores will determine the number of groupings which should not, however, exceed the maximum number of piles given by the key informants.

6. Identify wealth indicators or the differences and features of the households in each grouping based on the ranking interviews and other sources of information.

Materials

- Cards, such as 3x5 index cards
- Pen, pencil or magic marker

Example

Wealth Ranking in Tubod on Siquijor Island in the Philippines*

Extrapolating from the ways in which informants assigned households to socio-economic categories, researchers on Siquijor ascertained the following about Tubod, a small baranguay located on the coast: The **more prosperous households** constitute 11% in Tubod; 18% of the households are **upper middle-income**. Tubod has a group of households (24%) which constitute a **new working class** and seem to be gaining a toe-hold in the modern economy as small - scale entrepreneurs, temporary, low paid government workers, or employees in someone else's business. **Average income** families in Tubod represent 22% of the total number of households. The **poorest households** represent 25% of Tubod. The wealth ranking helped to clarify the particular characteristics of each socio-economic group, such as size of holding, access to remittances and types of employment opportunities. It identified the categories which the research team needed for household interviews and surveys, and it assured that all voices were heard in the data-gathering process.

*Source: Adapted from Shields and B. Thomas-Slayter, 1993, "Gender, Class, Ecological Decline and Livelihood Strategies," p. 15.

9 Institutional Diagrams (Venn Diagrams)*

There are many important actors and institutions in every community. It is critical to know which organizations are the most important and have the respect and confidence of the community. Institutional diagramming allows community members to gather information about the relationships of different organizations, as well as individuals, with one another and with outside groups. Using circles of different sizes to represent different organizations, institutions or influential people, participants create a visualization of these relationships.

Purpose

Institutional diagrams can help participants:

- understand how the community views these institutions and how they rank them according to their contribution to community development;
- examine the problems of special groups, e.g., the women, the poor, the wealthy, the young and the elderly in a community;
- determine the internal and external resources that communitymembers can access.

Process

1. Focus groups can be divided by gender, age, ethnic, socio-economic lines, or any other appropriate grouping such as village leaders or people who do not belong to any organization.
2. Through a group process, participants will decide which relationship is to be examined (e.g., the relationship of outside organizations with the community, the alliance of organizations within the community, the relationship of village leaders and community members, and others).

*Source: Adapted from The TriPARRD Committee, 1993, *A Manual*, pp. 84-88. B. Thomas-Slayter et al., 1993 *Tools of Gender Analysis*, p. 15 NES, et al., *Participatory Rural Appraisal Handbook*, pp. 48-49.

3. Cut out (ahead of time) different sizes of circles. Using differently colored circles provides nice contrast. Local resources such as cut banana leaves can also be used. Also, draw a big circle on a large sheet of paper or newsprint.

4. Start the exercise by asking participants to list local organizations, as well as outside institutions, that are most relevant to them.

5. Ask the participants to link the most important organizations in the community (in terms of their contributions to community development) to the largest circles, less important to medium-sized, and the least important to the smallest circles.

6. Indicate the name of the organization on each of the circles. Ask participants to place the circle inside the large circle on the sheet of paper.

7. Then ask which institutions work together and how closely. For those that cooperate or overlap a great deal, participants place the paper circles partly together.

8. Discuss as many institutions as possible and position them in relation to each other. There may be ample debate and repositioning of the circles as the task continues.

9. Bring the groups together and compare the diagrams of each group, discussing how and why they differ.

Sample questions to ask include:

- *Tell us what you think about this institution in the large circle? What do they do? Tell me about the institution in the small circle? What is their work?*

- *Why has one group put a certain institution in the center of the diagram and another has given it a very small circle placed at the edges of the diagram? How is that organization relating differently to different members of the community?*

- *Why has one group included fewer organizations in its diagram?*

To the group with fewer organizations in its community sample, questions might include:

- *What do you know about x and y institutions?*
- *How do you feel about their role in the community?*
- *In what ways are you satisfied/dissatisfied with institutions in the community?*
- *What can they do to serve you better?*
- *How can you better make use of their services?*

Materials

- Newsprint and markers
- Tape or stapler
- Circles of different sizes - large, medium, small

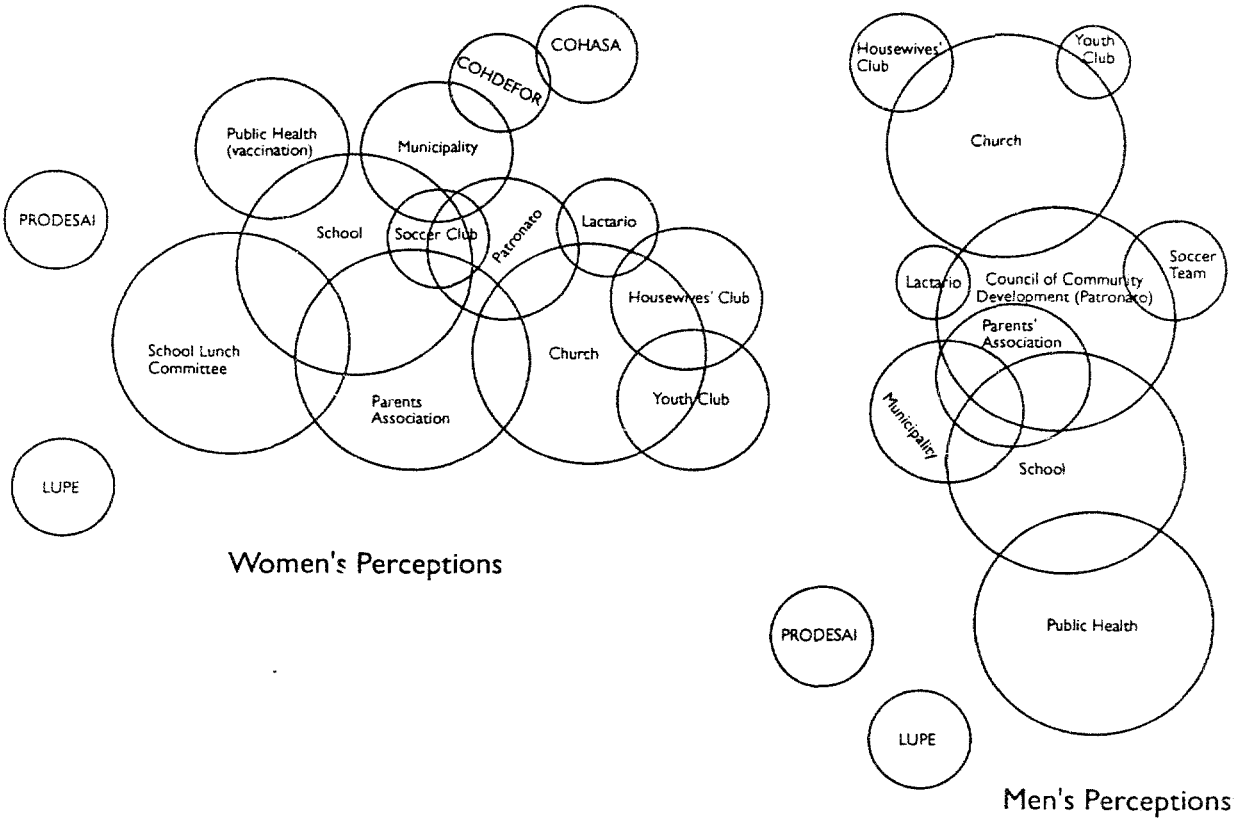
Notes to the Facilitator

Indicate the participants' names on the diagram to give them credit.

Refer to **Facilitation** (Tool #1) and **Focus Groups** (Tool #7) for more information on leading groups in the construction of the Venn Diagram. See **Conflict Management** (Tool #4) for discussion on resolving dissention in groups.

Example

Figure 2.1. Gender Perceptions of Institutional Networks in El Zapote, Honduras*



The above illustration shows the importance of gathering information from both men and women about existing institutions. Focus groups discussions showed that men and women ranked the relevance of community groups for local welfare very differently. This example focuses on gender differences. Further differentiation is possible across socio-economic, age, and ethnic lines.

*Source: Anne Marie Urban and Mary Rojas, 1994, *Shifting Boundaries: Gender, Migration and Community Resources in the Foothills of Choluteca, Honduras*, p. 35.

10 Demographic Analysis Activity*

Baseline community data is usually collected by external researchers who take the information to be compiled and analyzed elsewhere. Community members are commonly unsure why particular questions are asked and how the information is used. The demographic analysis activity allows people to analyze demographic data about their community as a means to assessing their needs. Using differently sized and shaped local objects to represent groups by sex and age, participants create a visual representation of demographic groupings which provides a format for discussing specific needs and characteristics of individual groups.

Purpose

The demographic analysis activity allows communities to analyze the particular needs of different demographic groups and to use that data as a means for planning a program which serves priority needs.

Process

1. Before the meeting, gather a large number of pebbles, seeds, shells, or other local objects of different sizes, shapes or colors. Use objects of like sizes and shapes to represent demographic groupings.

2. Label one container with pictures or words for each demographic group. Suggested categories are: Elders, Men, Women, Girls (age 5 - 16), Boys (age 5 - 16), Children (under age 5).

3. During a community meeting or other gathering, invite volunteers to participate by selecting objects from each category to represent their family. A sufficient number of volunteers should be selected to provide a good representation of the community. Unless the community is very large, approximately one-third of the families is a good target.

4. Ask the volunteers to put the objects representing their families in the corresponding container. Leave a sample pebble or other

*Source: Adapted from L. Srinivasan, 1993, *Tools for Community Participation*, pp. 140-141.

object next to the label of each container to avoid confusion.

5. Ask the community to reflect on their demographic composition with questions such as:

   - *Which category has the largest number of people?*
   - *What are the implications of this?*
   - *Which group has the most immediate problems?*
   - *What can be done about the problems?*

   If a program focus exists, ask questions regarding special problems such as:

   - *Which group is most affected by a lack of fuelwood?*
   - *What do people in that group think about what should be done?*

6. If suitable to the literacy of the community as a whole, write on chalkboard or newsprint key ideas elicited during this exercise.

Materials

- Pebbles or other small objects of different sizes, shapes and colors
- Containers with labels or pictures
- Newsprint and markers or chalkboard (optional)

Notes to the Facilitator

In some cultures, people may not like the idea of being counted. Field use in Asia has not encountered any resistance, but one trainer has encountered problems in Africa. Make sure to find out how people feel about a census-like activity before using this tool.

Do not use a chalkboard or newsprint to sum up key points if the information will only be accessible to privileged groups of people. For example, if men are mostly literate and women are mostly not, it would be better to simply reiterate key ideas verbally or using symbols rather than writing them.

11 Priority Group Analysis*

Once a disadvantaged group has been identified, special efforts must be made to understand how programs may differentially affect that group. The special needs and skills of the priority group should be identified. Rather than have development agents "guess" what the unique circumstances are of a marginalized group, the Priority Group Analysis allows community members from both advantaged and disadvantaged groups to work together to analyze the situation of a marginalized group within a larger community.

Purpose

The Priority Group Analysis helps community members analyze the needs and potentials of a marginalized group in relation to a particular program area.

Process

1. Divide participants into groups of ten or less members.
2. Give each group newsprint and markers.
3. Have participants draw one large circle on the newsprint with a smaller circle inside of it. The large circle represents the whole community; the small circle is the priority group.
4. Ask participants to write or draw in the larger circle all of the program-related problems that affect the entire community. For example, if the program has a health focus, participants should note problems related to health and sanitation.
5. Next ask participants to note program-related problems which affect the priority group and place these in the inner circle. Some of these problem will be the same as in the larger circle; some may be different.
6. Bring the groups together for a discussion. The facilitator may ask questions such as the following to focus the group:

*Source: Adapted from L. Srinivasan, 1993, *Tools for Community Participation*, pp. 140-141.

- *How do the problems in the two circles differ?*
- *How are they the same?*
- *What solutions can be found which give priority to the needs of the disadvantaged group?*
- *What can the disadvantaged group contribute to a project (e.g., knowledge, resources)?*

Materials

- Newsprint
- Markers

Notes to the Facilitator

Do not ask people to write their ideas if a high rate of illiteracy exists or if particular segments of the community will not be able to participate. Symbols may be used. Or if the group is small enough, you may want to keep the group intact rather than subdivide. In this case the facilitator may write down the ideas along with the symbols and invite people to participate verbally. If this method is used the facilitator should consistently reiterate key ideas so that all participants can follow. The drawback to this methods is that people are usually more apt to participate in smaller groups, but it may be the best method for a given situation.

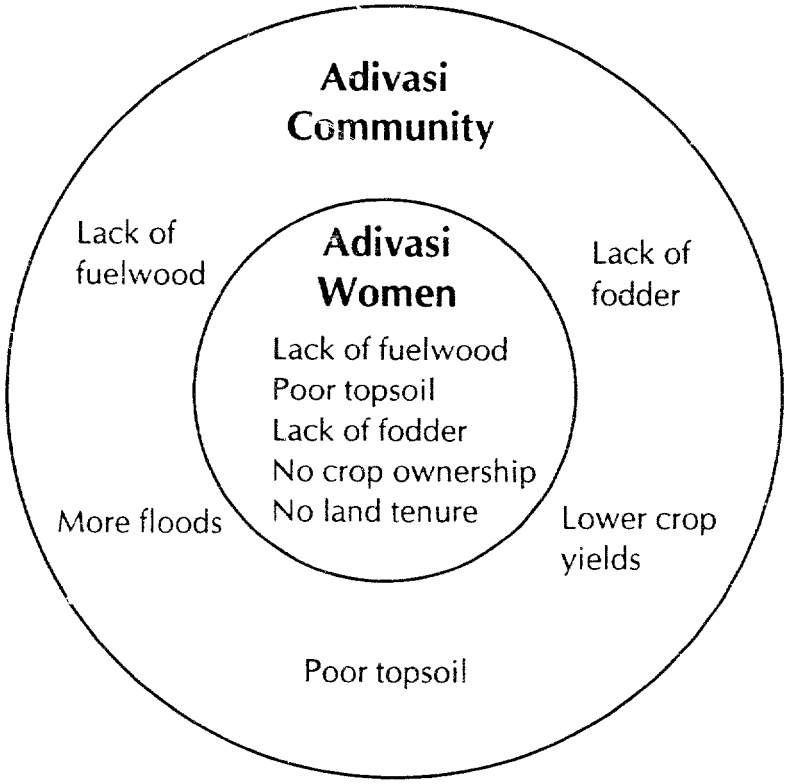
Example

Priority Group Analysis of Adivasi Women and Their Community

SARTHI, an NGO based in Rajasthan, India, has been helping Adivasi women organize themselves around the rehabilitation and management of common lands. For a look at the experience of SARTHI and the Adivasi women's groups in Panchmahals District, see pp. 33-44 in Part I of the SEGA manual.

In Figure 2.2 the large circle represents the program-related problems that affect the Adivasi community. Since the SARTHI program is focused on the rehabilitation of grazing lands, problems related to the lack of vegetative matter are listed. The program-related problems affecting the Adivasi women, the priority group, are noted in the smaller circle. Some of the problems facing the priority group are the same as those facing the community. Others, such as no land tenure and no crop ownership, pertain specifically to the Adivasi women.

Figure 2.2. Priority Group Analysis of Problems Facing Adivasi Women and their Community



12 Village Sketch Map*

Upon entering a community, it is often difficult to know where and how to begin using participatory methods for data gathering and project design. Most community members are not accustomed to being asked for their opinions and expertise. Conversely, participatory methodologies are new to many development professionals. The Village Sketch Map is often a good place to begin because it is an easy exercise that initiates dialogue among participants and organizers. While participants produce the map, issues emerge and discussions can begin about some of the community's problems. The map can also serve as a visualization of the initial conditions in the community which can be used as a point of comparison for project impact.

Purpose

The sketch map is a representation of a community and its resources which begins to focus participants and planners on problems and issues for further investigation. The simplicity of the exercise makes it a suitable entry point in which many participants can contribute.

Process

1. Ask participants who have gathered for the exercise to draw a sketch of their village on the ground using any local materials they choose. Participants may use sticks, pebbles, leaves, sawdust, flour or any other local material. Paper and markers may also be used.

2. Participants should determine the boundaries and contents of the map, focusing on their perceptions and what is important to them. Maps may include:

    - infrastructure (roads, houses, buildings)
    - water sites and sources
    - health, education, and religious facilities
    - agricultural lands (crop varieties and location)
    - agro-ecological zones (soils, slopes, elevations)

*Source: Adapted from John Bronson, 1995, *Conducting PRA in the South Pacific*, pp. 13-17.

- forest lands
- grazing lands
- other resource areas or special use places

3. Because this exercise is designed to understand local perceptions and relationships with resources, facilitators should be more concerned with the process than the results. It is important that the exercise not be dominated by a few individuals. Contributions from members of marginalized groups may need to be especially sought. Some possible methods for balancing group contributions follow. Also see **Facilitation** (Tool #1).

   - Ask uninvolved observers whether or not they think the placement of a particular feature is accurate. If they disagree with the placement, invite them to indicate its proper position.

   - Ask observers to map something specific or give them a stick or other tool and ask them to indicate something they would like to see on the map.

   - Ask a particularly dominant participant specific questions about the village. By engaging this person in conversation away from the map, his or her influence over the process can be lessened.

4. Sometimes more information will be elicited if separate groups form to make their own maps. Facilitators may want to suggest this if it appears that one group (male elders, for example) is dominating the process. Sometimes groups will choose to make their own maps without the facilitators' intervention. Separate group maps can be contrasted to provide useful information regarding each group's perceptions and priorities.

5. Throughout the exercise facilitators should note any information garnered during the process about both village resources and group dynamics. When the map(s) have been completed, participants should describe their representation. Facilitators will want to draw a copy of the map on paper for future reference.

6. After maps have been completed and discussed, facilitators may want to ask participants to indicate some things they would like to see in their village that are not currently on the map. This allows an incorporation of preliminary planning components into the exercise. It also encourages people to begin contributing their thoughts at early stages of a participatory process.

Materials

- paper and pens for facilitators
- video to record process and product (optional)

Notes to the Facilitator

The sketch map is constructed on the ground to help ensure that all community members can participate, including those uncomfortable with paper and writing implements. This also allows a large crowd to view the map and contribute to it.

The number of people involved in this exercise is less important than ensuring that all subgroups and interests within the community are represented. Facilitators need not be concerned if there is a small turnout, especially if this is the first activity undertaken in a village. A positive exchange for participants during this process can help lead to more participation at later stages.

In some situations it might be useful to assure participants that the sketch maps will not be used for taxing or controlling resources – that the maps belong to the community.

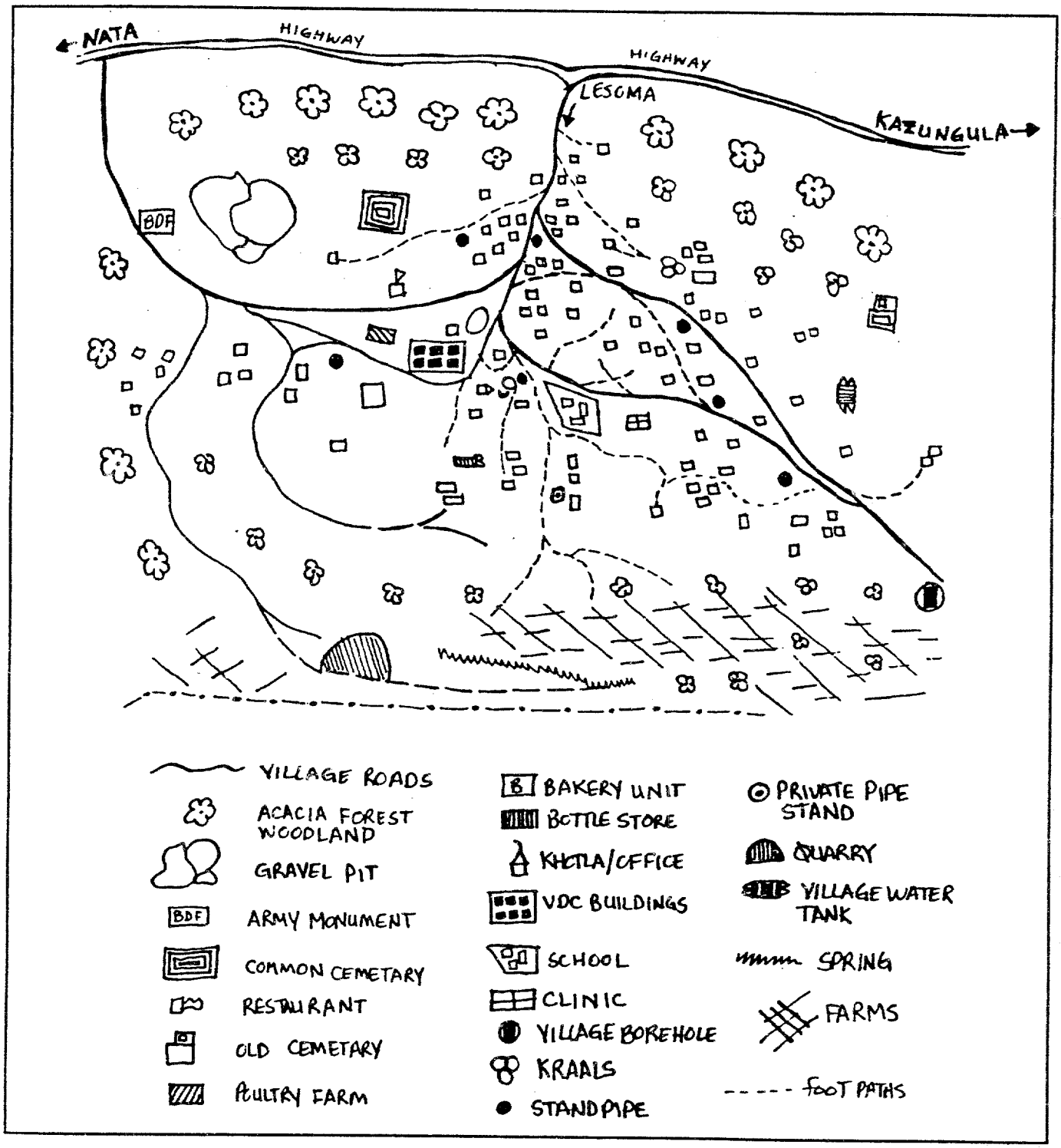
Example

Village Sketch Map Lesoma, Botswana*

The sketch map exercise conducted in Lesoma helped to begin a dialogue between and among villagers and the external organizing group. Besides eliciting information on the village resources and infrastructure, issues such as limited transportation, few opportunities for employment, and concerns over rising population (particularly due to in-migration) were identified during the mapping. These issues were discussed openly as groups created and later presented their sketch maps to the larger group of participants. Opportunities to further analyze issues, state concerns, and search for solutions were provided during discussions following the mapping and with subsequent exercises.

*Source: Richard Ford *et al..*, *Managing Resources with PRA Partnerships: A Case Study of Lesoma, Botswana*, p. 12.

Figure 2.3. Village Sketch Map Lesoma, Botswana



13 Time and Trend Lines*

A time line is a list of key events in the history of a community that helps identify past events, problems and achievements. A trend line is a diagram or graph showing the significant changes in a community over time. Making both time and trend lines entails general discussions with community members on the important events that have happened in the locality. Involving older women and men in these activities is essential because they are more knowledgeable about past events.

Purpose

The time line helps the community organizer or field worker better understand what local, national, and global events the community considers to be important in its history and how it has dealt with crises and natural disasters in the past.

Trend analysis helps the field worker learn from the community how it views change over time in various sectors. Trend lines are helpful in identifying problems and organizing the range of opportunities for the community to consider. It also enables the community to focus their attention on the positive and negative changes over time of certain resource management practices. The field worker and participants can organize the range of opportunities for the community to consider.

Process

1. Organize one or more groups of manageable size, especially including older men and women and long-time residents of the community for the time line exercise. The trend line activity can also include younger participants including leaders of church groups, women's cooperatives, self-help groups and men and women farmers.

2. Discuss with the group the purpose of making a time line or trend line.

*Source: Adapted from NES *et al.*, *Participatory Rural Appraisal Handbook*, pp. 25-34 and TriPARRD Technical Committee, 1993, pp 50-66.

3. For a time line start discussion by asking the group questions such as:
   - *When was the first settlement established?*
   - *Who were the founding families?*
   - *What is the first important event you can remember in your community?*
   - *Have there been significant migrations in or out of your community?*
   - *Have there been occurrences such as wars, famines, epidemics, natural disasters or significant historical events?*
   - *What are some of the best things your community has done?*
4. Once the time line is agreed upon, you can explore trends with the group. For a trend line, draw a blank matrix on the board or paper (see below). Indicate the years along the bottom axis. The facilitator decides on the interval of years s/he wishes to use, e.g., 1950, 1960, 1970, and so on. Explain how the years move from left to right along the axis and how the estimates of increase/ decrease are to be indicated on the vertical axis. Various trends can be explored:
   - vital statistics, such as population, mortality and marriage age;
   - quality of life indicators, such as health, nutrition, education and employment; and
   - resource use and availability, such as water, firewood, land and fertilizer.

   Ask the group about significant changes in the community. Determine whether different events (epidemics, floods, infant mortality, deforestation, for example) seem to be increasing in intensity.
5. When the diagrams are done, encourage a discussion on the reasons for the trends that have emerged. This will help identify problems and activities to resolve the situation. For example, if the group agrees that deforestation is getting worse, ask why. Discuss what solutions have been tried in the past and how effective they were. Ask what might ease the situation.

Materials

- Large pieces of paper and markers; or
- Chalkboard and chalk

Notes to the Facilitator

Group discussions are preferred to interviews of key individuals because they encourage dialogue among older participants, helping them remember events from the distant past.

Time and trend lines allow the field worker to develop rapport with community members. By doing these exercises s/he is perceived by the residents as interested in learning about their lives.

Example

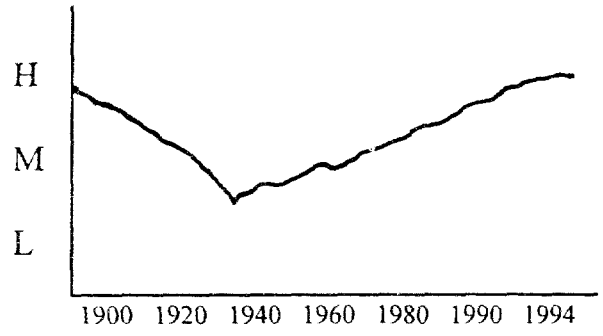
Figure 2.4. Trend Lines from Hog Harbour, Espiritu, Vanuatu*

The trend lines below are taken from a PRA case study conducted in Hog Harbour, Espiritu, Vanuatu in September, 1994. The PRA team divided the community into two groups by gender. Each group charted the issues important to them. (Divisions could also have been made along class or geographic lines to highlight different perspectives.)

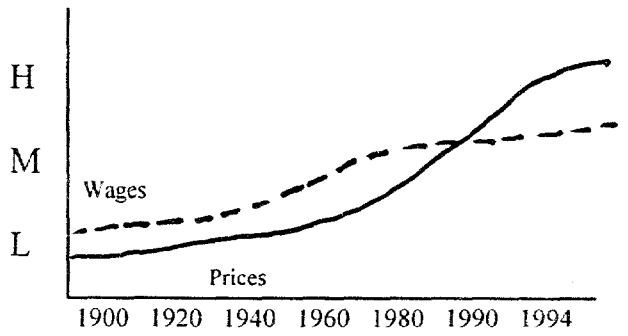
The men's group charted a number of trends including population in the area. The men traced changes in the village population since its establishment. The chart below demonstrates a population decline for the first 40 years, due to poor health services and tribal conflicts. The population began to rise again after the churches established good health services and resolved tribal strife.

The women highlighted the difficulties they faced as managers of households by charting the cost of living. In the charts below they noted that the increase in the price of goods outpaced the increase in wages.

Population in the Area
Charted by Men's Group



Cost of Living Trend
Charted by Women's Group



*Source: Bronson *et al.*, *Conducting PRA in the South Pacific*, pp. 32-37.

14 Gender-Disaggregated Activity Calendar*

Livelihood activities vary with seasonal cycles and by age and gender. The activity calendar makes patterns of production and subsistence (such as plowing, harvesting, marketing, animal care, and fetching wood and water) visible to development professionals and community members. By categorizing responsibilities by season, gender, age, and intensity of activity, the calendar highlights constraints to participation which can then be factored into project planning and timeframes.

Purpose

The Gender-Disaggregated Activity Calendar generates information on gender- and age-based seasonal divisions of labor in livelihood systems. The calendar can be a tool for working with the community to analyze livelihood responsibilities and to address imbalances between genders.

Process

1. Calendars should be developed with both men and women's input across socio-economic groups, but the facilitator can work with individual key informants, families, or focus groups as best suits the situation.

2. Community members work with the facilitator to develop calendars fashioned after the model in Figure 2.5. The facilitator may want to prepare the calendar outline before the meeting leaving space to draw in the activities and agents during the meeting.

3. Those who perform activities (agents) should be separated by age and gender with separate symbols for adult male, child male, adult female, and child female as shown in the key to Figure 2.5.

4. Activities should be tailored to reflect the particular setting. Categories to consider include:

*Source: Adapted Thomas-Slayter et *al.*, 1993, *Tools of Gender Analysis*, pp. 22-23, and Feldstein and Jiggins, *Tools for the Field*, pp. 103-105.

Stress periods: food shortages, drought, monsoon, extra expenses

Household production: cooking, construction/home repair, childcare, care for elderly, fetching firewood, fetching water

Animal care: small livestock, large livestock

Farming activities: crops (cash and subsistence) listed by type, plowing, weeding, watering, preparing fields, harvesting, marketing

Fishing activities: commercial or subsistence fishing, fishponds, marketing

Other livelihood activities: wage/salaried labor, small handicrafts, cottage industries

5. Activities may be divided by intensity of task by varying the type of line. As shown in the key in the calendar example, continuous activity is denoted by a solid line, sporadic activity is shown by a dotted line. A heavy black line may be used to show intense activity.

6. A group discussion to analyze the data on the Activities Calendar can enable communities to think through a number of issues. Some suggested areas of questioning follow:

   - *Why are there shortages of food or money during certain months? Who feels these shortages most? What is done to guard against shortages? What more can be done?*

   - *Who is responsible for which types of livelihood activities? Does the division of labor seem fair? Are men working harder than women? What do people do during the months where activity is more sporadic?*

   - *Who is doing which types of household tasks? How much time out of each day would you estimate these tasks take? Is this an equitable breakdown of tasks? Why or why not?*

- *What jobs do children do? Do male and female children do the same jobs? Why or why not? Are children doing too much work? Too little? Why?*

Materials

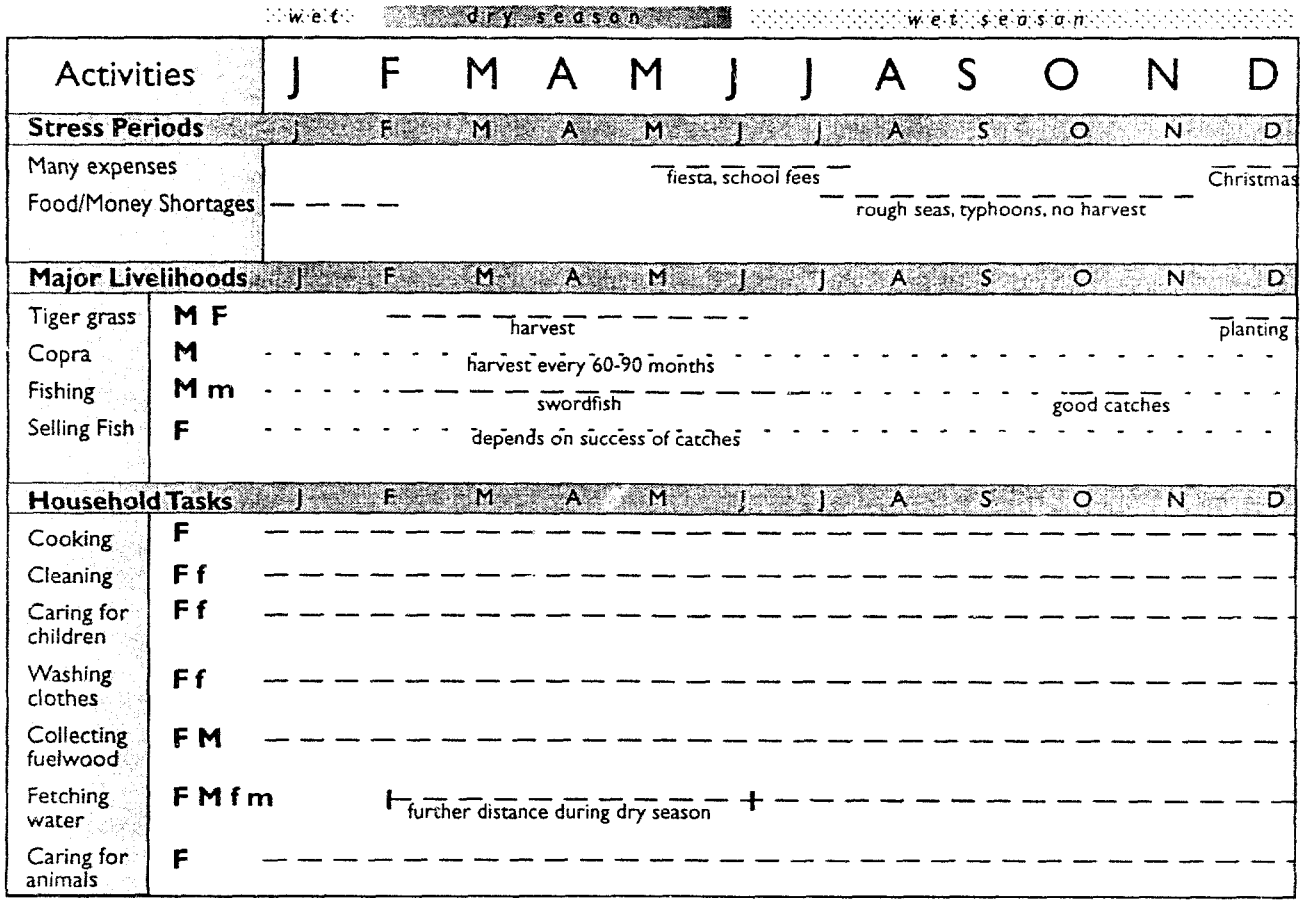
- Poster board, newsprint, or roll of brown paper
- Markers

Notes to the Facilitator

The calendar is designed to elicit age and gender-disaggregated information, but calendars will also vary along socio-economic lines. Facilitators can control for this by developing calendars with representatives from high and low status groups. Or, if a project is focusing only on poorer groups, facilitators can develop calendars with these groups only. **Wealth Ranking** (Tool #8) can help to delineate between more and less advantaged groups so that facilitators can work with designated groups.

Example

Figure 2.5. Gender- Disaggregated Activities Calendar Calansi, Camarines Sur, Philippines*



- - - - Sporadic Activity
— — — Continuous Activity

M = Adult Male
m = Male Child
F = Adult Female
f = Female Child

*Source: Andrea Esser, 1995, *Trends and Transitions: The Relevance of Gender, Class and Age to Understanding Community Change in a Philippine Village.*

15 Mobility Map*

Mobility is influenced by economic and social factors. Individuals grouped by characteristics such as class, gender, and ethnicity often move in patterns that reflect their socio-cultural or economic circumstance. For example, women's mobility in traditional Muslim societies is culturally limited. Yet economic conditions may necessitate that poorer women travel to markets or other work areas. Distances traveled for education will often depend in part on one's gender and socio-economic class. An understanding of patterns of movement of different sectors of a community can inform projects that address inequities while operating within existing contexts.

Purpose

A Mobility Map reveals the frequency, distance, and purpose of travel. It also shows how much time is spent traveling. An analysis of mobility allows researchers or development professionals to assess a group's mobility in terms of cultural constructs, time allocation, and resource access.

Process

1. Prepare a sketch map locating the community at the center with surrounding points of possible travel destinations. Reasons for travel may include work, health, education, social visits and marketing.

2. Using the sketch map as a guide, work with participants one at a time to note destination points, frequency and reason for travel, and time spent traveling. Write in any destinations or reasons for travel not on the original form.

3. Draw lines between the community and the destinations noting approximately how often a particular route is traveled and how long the journey takes. Different colored markers may be used to clarify the purpose of travel. For example, blue lines may be used for health-related trips and green lines may signify social visits. An alternate method to using markers is using

*Source: Adapted from RRA Notes 10, pp. 14-15 *Assessing Women's Needs in Gaza Using Participatory Rapid Appraisal Techniques.*

different types of lines (e.g., dotted, straight, cross-hatched) as shown in Figure 2.6. Note: some destinations may have multiple lines showing travel to the same place for different purposes.

4. Alongside each travel line, note how often the route is travelled for that purpose. For example, a line to a city for health services may be marked "4X/yr" to signify that the trip is undertaken approximately four times a year. Travel may be broken by years, months or weeks as best suits the group.

5. Mark each destination with the amount of time it takes to complete one round trip from home to the destination. Alternatively, the amount of time taken both travelling and performing a task may be noted. In Figure 2.6, for example, women are shown to spend 80 hours a month traveling to and from Cagayan de Oro city and shopping.

6. Mobility Maps should be done with a representative sample of community members so that comparisons may be made between groups along class, gender, religious or other lines. Maps may be consolidated within groups for easier comparison.

7. Work with groups to analyze and compare information elicited from maps. Sample questions include:

   - *Who spends the most time working? Is this what you would expect?*
   - *What is the furthest distance people travel? For what purpose? Do all groups travel to the same places? Why or why not?*
   - *What surprises you about this information? Does it seem right? Is it equitable? Should anything be changed?*

Materials

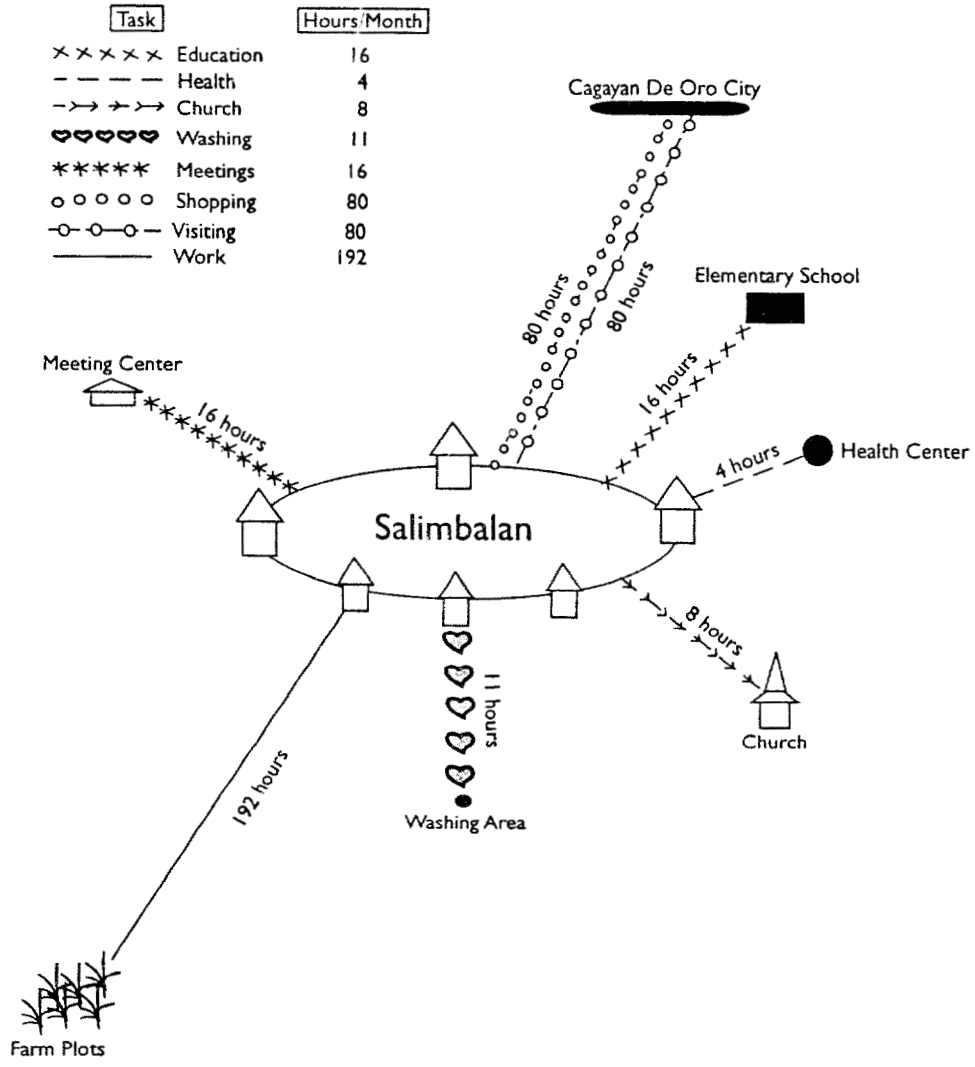
- Copies of sketch maps
- Colored markers or other writing implements

Notes to the Facilitator

The **Wealth Ranking** exercise (Tool #8) is a good way to divide households into socio-economic groups. Wealth ranking can be done before making mobility maps to ensure that a sample representation of all classes is obtained.

Example

Figure 2.6. Women's Mobility Map Salimbalan, Bukidnon, Philippines*



*Based on field testing on Mindanao, the Philippines, June, 1995.

C Defining Roles and Priorities

Communities consist of diverse groups of people whose privileges, priorities, and perceptions vary widely. Development efforts which look at a community as a homogenous group risk increasing or reinforcing inequities. The following tools are designed to help community members and development practitioners work together to analyze divisions of labor and responsibility as well as access to and control over resources. Understanding such divisions can enhance program efforts to reach marginalized groups.

16 Access and Control Profile*

Lack of information on access to and control over resources and benefits has led to false assumptions about what groups can accomplish and how they may benefit from particular projects. All types of work require the use of resources. Engaging in work and utilizing resources usually generates benefits for individuals, households and communities. The Access and Control Profile helps delineate a group's access to and control over resources needed for work. The profile also helps to show who has access to the benefits derived from work and the extent to which any group is able to exert control over the benefits.

Purpose

The Access and Control Profile allows an analysis of resources and benefits that can help planners to compensate for or increase a marginalized group's limited access and control within a project process.

Process

1. The Access and Control Profile is usually employed to delineate women's relations to resources and benefits from men's, but it could also be used for any marginalized subgroup within a community. For example, rather than creating categories of "men" and "women" as in Tables 2.3 and 2.4, categories could be "rich" and "poor" or "Catholics" and "animists".

2. The facilitator should decide, given the particular context, if it is best to work together with participants from the dominant and subordinant groups or if better information would be elicited by separating groups.

3. Participants should work with the facilitator to fill out the profile. Resources may include land, equipment, labor, tools, technology, cash/credit, skills, employment opportunities, education, political/organizational representation, information, self-esteem, time. Benefits may include cash, assets, provision of basic needs, education, political power, prestige, status, opportunities.

*Source: Adapted from CIDA, 1991, *Two Halves Make a Whole*, pp. 27-31.

4. The following are some of the critical questions which should be addressed:

Resources

- *What resources does each group have access to?*
- *What resources does each have control over?*
- *What are the implications of this information for the project?*
- *How can the project help to increase a disadvantaged group's access to and control over resources?*

Benefits

- *What benefits does each group receive from work?*
- *What benefits do they each have control over?*
- *What are the implications for project activities?*
- *How can the marginalized group's access to and control over benefits be increased?*

Materials

- Newsprint or posterboard
- Markers

Notes to the Facilitator

While producting an Access and Control Profile, is is often useful to consider what factors over time influence and change gender relations, divisions of work, and access to and control over resources. Constraints and opportunities for promoting equity and empowerment presented by changes should be considered. Some factors to be aware of include the following:

- socio-cultural (changing values and lifestyles)
- economic (expanding markets, credit opportunities)
- political (new forms of government, new policies)
- environmental (resource pressure, degradation)
- demographic (outmigration, age structure)
- legal (changes in ownership or voting laws)
- educational (changes in availability and priority)
- religious (rising fundamentalism)

Example

Table 2.3. Access and Control Profile* Salimbalan, Bukidnon, Philippines*

Women's Chart

A. Resources	Access		Control	
	Women	Men	Women	Men
• Land	60%	70%	70%	80%
• Labor	70	80	70	80
• Tools	20	80	50	90
• Technology	40	80	20	100
• Cash/Credit	80	70	60	80
• Education Opportunities	80	50	50	90
• Employment Opportunities	60	60	50	100
• Political Representation	60	70	50	90
B. Benefits				
• Cash	80	90	70	70
• Assets	90	80	80	90
• Basic Needs	60	70	70	50
• Education	90	60	80	60
• Political Power	80	70	60	100

Men's Chart

A. Resources	Access		Control	
	Women	Men	Women	Men
• Land	80%	90%	60%	70%
• Labor	70	100	40	100
• Tools	80	100	60	100
• Technology	90	100	60	90
• Cash/Credit	90	100	40	100
• Education Opportunities	100	100	80	70
• Employment Opportunities	100	100	100	80
• Political Representation	80	100	30	90
B. Benefits				
• Cash	60	80	20	70
• Assets	80	40	60	90
• Basic Needs	100	90	70	50
• Education	80	80	40	60
• Political Power	90	100	90	100

*Source: Adapted from Overholt *et al.*, 1985, *A Case Book: Gender Roles in Development Projects* for use in SEGA field testing in Salimbalan, Bukidnon, Philippines, May-June 1995

Youth's Chart

A. Resources	Access		Control	
	Women	Men	Women	Men
• Land	100%	100%	70%	70%
• Labor	80	50	80	20
• Tools	80	40	60	60
• Technology	80	60	40	70
• Cash/Credit	100	30	100	70
• Education Opportunities	100	100	100	50
• Employment Opportunities	100	100	60	80
• Political Representation	100	100	50	70
B. Benefits				
• Cash	100	90	50	80
• Assets	90	100	50	60
• Basic Needs	100	100	50	40
• Education	100	100	50	40
• Political Power	40	100	50	40

Residents in Salimbalan came together after completing access and control profiles in separate groups. They discussed the differences between the perceptions of different groups. They then combined the data from the three charts by averaging the figures to form a group representation. They used this final chart to discuss differences between men's and women's access and control. For example, in the combined chart 46% of the women felt they controlled cash, whereas 76% of the men felt they did. Forty percent of the women felt that they had access to political representation whereas 83% of the men. They analyzed reasons for the differences, and established a target of 100% access and control in all categories for men and women alike.

Table 2.4. Combined Group Chart

A. Resources	Access		Control	
	Women	Men	Women	Men
• Land	80%	86%	66%	73%
• Labor	73	76	63	66
• Tools	60	73	56	83
• Technology	70	80	40	186
• Cash/Credit	90	66	66	83
• Education Opportunities	93	83	76	70
• Employment Opportunities	86	86	70	186
• Political Representation	80	90	40	83
B. Benefits				
• Cash	80	86	46	76
• Assets	86	73	63	83
• Basic Needs	86	86	63	50
• Education	90	80	63	60
• Political Power	90	90	66	80

17 Gender Resource Mapping*

Subgroups within a community make different uses of resources. For example, women and men often have different spheres of responsibility and control over resources. Resource use and access can also vary by socio-economic group. Resource mapping offers a way for development planners to understand the division of control, responsibility and labor with regard to resources and related activities.

Purpose

Gender Resource Mapping presents the rural landscape as an arena of complementary and/or conflicting relationships between men, women, and children in regard to natural resources. Mapping of resources can also highlight the absence of certain services and point out access and control inequities or imbalances.

Process

1. Resource maps should be developed with individual families representative of major household types, socio-economic strata, and agro-ecological zones in order to gain a better understanding of the divisions of control, labor, and responsibility of resources both within a household and between households. By constructing maps with individuals of different socio-economic groups, one can see how gender divisions of resource use change according to class.

2. Facilitators should arrange to meet with families when as many members as possible are present to contribute to the discussion.

3. Using the home as a starting point, facilitators work with families to sketch the various resources utilized. Arrows show flows of resources to or from the home (See Figure 2.7, p. 122).

4. It is easiest to work with one resource at a time noting all of its characteristics before moving on to the next. Questions may include: *Who has access to this resource? What are the terms of access? Who owns it? Where are products sold? Who sells products?*

*Source: Adapted from D. Rocheleau, 1987, *The User Perspective and the Agroforestry Research and Action Agenda* and Thomas-Slayter *et al.*, 1993, *Tools of Gender Analysis.*

5. Control (C), responsibility (R), and labor (L) for resources are delineated by gender (See Figure 2.7). Include children's contributions where appropriate.

6. Resource maps should be shared with the participating families and may be presented to the community for their use and feedback. Community presentations should only occur if participating families do not object to neighbors having access to the information on the maps.

Materials

- Newsprint or other large paper
- Markers

Notes to the Facilitator

In some settings it may be difficult to distinguish between control and responsibility. Try to clarify the two concepts, but keep in mind a tendency for respondents to link them.

Families may not immediately think of all the resources at their disposal. In particular, common property resources may be excluded from initial discussions. Facilitators may want to suggest types of resources such as fuelwood or grazing lands to help prod the memory of participants.

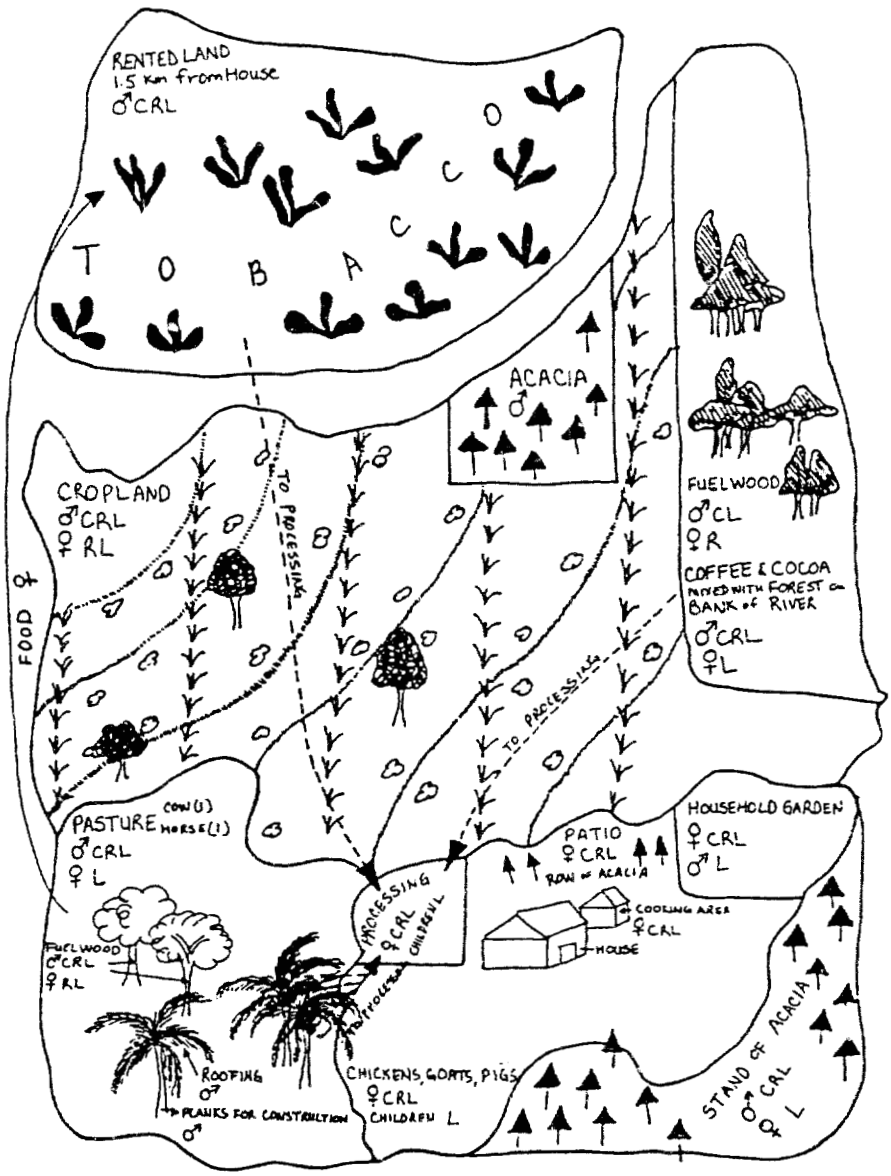
Drawing maps allows for the participation of all members of a family – literate and illiterate.

Example

Gender Resource Mapping

Figure 2.7 is an example of a map depicting crops, plants, animals, resource use and access, and resource users. This composite map represents a middle income family in Zambrana.

Figure 2.7. Gender Resource Map Zambrana, Dominican Republic*



C = Control
R = Responsibility
L = Labor
↑ = Acacia (Tree introduced by project)

*Source: Rocheleau, Ross and Morrobel in Thomas-Slayter *et al.*, 1993, *Tools of Gender Analysis*, p. 19.

18 Benefits Analysis*

Benefits Analysis offers an in-depth consideration of the benefits to a household and the individuals within it of the products and by-products of various livelihood activities. It can be an important learning process for the household, as well as for the researcher who has an opportunity to explore, in a lively yet detailed manner, the fundamental resource and economic issues of these households.

Purpose

Benefits Analysis helps identify the likely stakeholders relevant to a given project, and the potential beneficiaries of development initiatives. It reveals who has access to the products of a household's labor, who decides how products should be used, and, if sold, who decides on the use of the cash income from the product.

Process

1. Drawing from data obtained through other methods (e.g. **Interviews**,Tool #6, and **Gender Resource Maps**, Tool #17), create a set of index cards with a representative set of products and by-products of the family's various livelihood activities written on each card. For example, the products and by-products of a tree may include fruit, fodder, fuelwood, lumber, bark, and poles. Make a card for each product or by-product.

2. Deal the cards to adult members of the family who take turns reading the cards and describing who in the family or community uses the product or by-product, how it is used, who decides how it should be used, and who controls the money if sold.

3. If the member does not have knowledge of the product/by-product, the card is passed to the member who does. Additional input is sought from other household members.

Materials

- Index cards
- Magic markers or pens

*Adapted from Thomas-Slayter, Esser and Shields, 1993, *Tools of Gender Analysis*. Feldstein and Poats, 1989, *Working Together*.

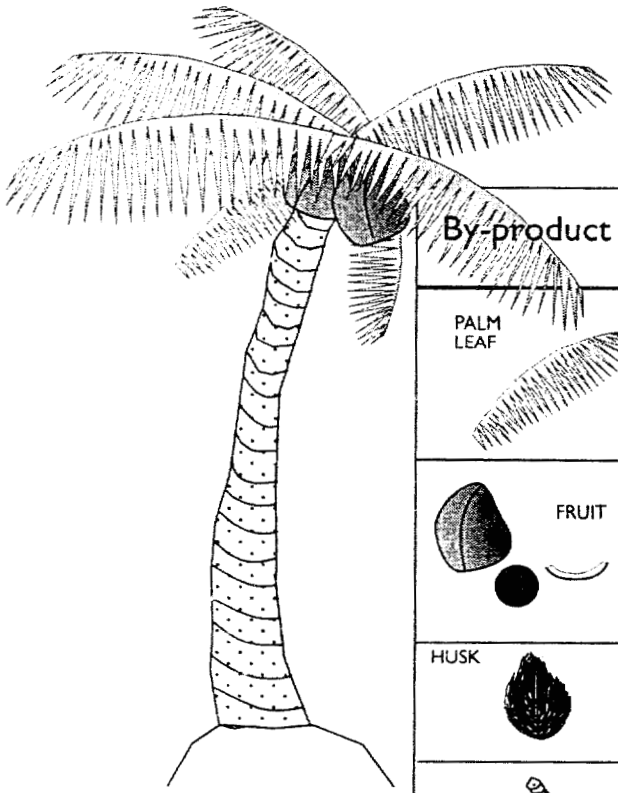
Notes to the Facilitator

This exercise can be fun for household members and the facilitator, as well, if it is treated in a lively manner almost as if a game rather than a research exercise.

Depending on the types of households in the community, it may also be important to specify the age of male and female decision-makers.

Example

Table 2.5. Benefits Flow Chart Calansi, Luzon, Philippines*



By-product	How Used	Who Decides Use	Who Does It	How is Cash Used if Sold	Who Decides Cash Use
PALM LEAF	Woven to make walls	f	f		
	Inner spire made into brooms	f	f		
	Wrapped around boiled rice sticks	f	f		
FRUIT	Eaten at home	f	f		
	Given or sold to friends and family	f	f		
	Dried and sold as copra	f m	f m	Family needs	f m
HUSK	Made into charcoal for home use or sale	m	m	Family needs	m
	Used to stuff pillows	f	f		
TRUNK	Used or sold as lumber	m	m	Family needs	m
	Used as fuelwood	m	m		m

*Source: Andrea Esser, 1995, *Trends and Transisitons.*

19 Gender Analysis Activity Profile*

Men and women may have very different types and levels of involvement at the community level. New projects can affect the distribution of responsibilities, either positively or negatively. The Gender Analysis Activity Profile (GAAP) offers a means to discuss community activities, the reasons they are undertaken, and the division of responsibility for them. Discussions take place with men and women, preferably in small groups.

Purpose

Participants clarify the factors which determine the gender-based division of labor and gender-related control over resources of the community. Discussing these issues in a public forum raises awareness of gender-based inequities in resource access and control, as well as in labor demands. It can also lead to community action to address these inequities.

Process

1. Ask the group to identify community activities. The list might include items such as:

   - tree planting
   - school maintenance
   - fundraising for a church
   - organizing a health clinic
   - organizing community celebrations
   - political activity
   - work on NGO projects

2. When the list is complete, ask the group to identify who is responsible for each of the activities, including:

   - male/female children
   - male/female teenagers
   - male/female adults
   - male/female elders

*Adapted from Thomas-Slayter, Esser and Shields, 1993, *Tools of Gender Analysis*, p. 37 and Wanjama, Leah, 1992, "Gender and PRA Activities in Western Kenya." Paper presented at a Clark University Conference on October 30, 1992.

3. The facilitator should then lead a discussion focusing on why one group rather than another undertakes a particular activity. A set of subsidiary questions, such as the following, will clarify the issues:

   - *Why do men (rather than women) do a particular activity?*
   - *What are the implications of men doing this activity and not another?*
   - *How is this work valued by the community?*
   - *Is it paid work?*
   - *How do the people who do the work benefit?*
   - *In what ways are these roles changing?*
   - *Given the patterns of community involvement noted in this meeting, what projects are most valuable to men? To women? Elders? Children?*

Materials

- Newsprint or other large paper
- Markers

Notes to the Facilitator

It may also be appropriate to raise the questions concerning community activities vis-a-vis specific ethnic groups, castes, or social classes, not simply gender. The activity can be organized around the most suitable social variables.

We recommend this exercise for a mixed group of both men and women, but there may be instances when more discussion would be generated when the group is not mixed.

Example

Table 2.6. Gender Analysis Activity Profile

Activity	Implications	Who Does It	Why
Tree planting			
School maintenance			
Fundraising for a church			
Organizing a clinic			
Organizing celebrations			
Political activity			
Work on NGO projects			
Public works			
Public meetings			

Table 2.7. Possible Entries for GAAP Chart

Implications?	Who?	Why?
G: a good system	FC: Female Child	LEG: Legal
A: acceptable system	MC:Male Child	REL: Religion
N: needs changing	FT: Female Teenager	CUL: Culture
	MT:Male Teenager	ED: Education
	FA: Female Adult	ECON: Economics
	MA:Male Adult	POL: Political
	FE: Female Elder	
	ME: Male Elder	

20 Gender Analysis Matrix*

Development practitioners often lack information as to how a proposed project may affect or be affected by different roles in the community. The Gender Analysis Matrix (GAM) is a technique for identifying and analyzing gender roles in a community in order to assess the different impacts of projects on different groups. It is essentially a visioning tool, allowing groups to predict changes. Additionally, use of the GAM begins a consciousness-raising process which identifies and challenges assumptions about gender roles.

Purpose

The Gender Analysis Matrix is designed to facilitate community discussions about project impacts for women, men, households and the community in regard to labor, time, resources and culture. The GAM both tests and increases awareness of a project's functioning in relation to gender roles and responsibilities.

Process

1. The GAM analysis is best if done in a community group with both men, women and youths actively participating. If cultural constraints discourage such an exchange, the facilitator may wish to consult men and women separately.

2. The facilitator should prepare the GAM structure (leaving the boxes blank) on large paper before the meeting.

3. Community members then discuss the matrix and work with the facilitator to fill out the boxes based on their expectations of the project's impact. Both women, men and youths must have input in all categories.

4. Beginning at the first line of the matrix on "women", the facilitator will want to ask the expected impacts of a project on women's labor, women's time, women's access to and control over resources, and women's status. The same would be done for the next line on "men" until the matrix is completed.

*Adapted from Rani Parker, 1990, *A Gender Analysis Matrix for Development Practitioners.*

5. After the matrix has been completed, the group should assign a (+) sign to those potential effects that are consistent with program goals and a (-) sign to those that are contrary to program goals. If the group is uncertain of the desirability of an outcome, a (?) may be assigned.

6. The GAM analysis may be repeated approximately once a month for the first three months. After that, it may be repeated quarterly or bi-annually. Repetition of the matrix exercise allows participants to reflect upon and change their assumptions as the project unfolds.

7. Changes in the matrix are assessed after each exercise. As the matrices evolve, original assumptions about gender and age roles may be proved true or false. This approach to consciousness-raising bases an understanding about gender roles on the everyday circumstances of community members rather than on externally-generated "facts" or statistics.

Materials

- Newsprint or other large sheet of paper
- Markers

Notes to the Facilitator

Effective use of the GAM requires men's and women's active participation. The process, if carried out at various stages of the project cycle, will raise questions and provide insights regarding the project's capability to incorporate the needs of both women and men.

Example

Table 2.8 Gender Analysis Matrix*

Project Objective: To provide credit for new technology in the form of knitting machines.

	Labor	Time	Resources	Culture
Women	- Need to learn to use new machines + New skill acquired	+ Less time to produce same output + Need time to learn	+ Likely increase in income** - May not control income + Uneasy about debt**	+ Strengthens women's confidence** + Good for women to produce more
Men	+ No impact	+ No changes in time use**	+ Receive more income from selling more	- Apprehension about women's independence
Youth	+ Young women learn new skills + Gainful employment		- Issues of adequate for undertaking project	- Raises questions about establishing programs for young men
Household	+ Women are more skilled**	+ Better childcare and household management because women at home more**	+ More income for the family**	
Community	+ More skilled people in the community + Potential employment gains as businesses expand		+ Greater cash flow in the community	- Loss of traditional skill

**In subsequent analyses using GAM tool, these items changed.

*Source: Rani Parker, 1990, "A Gender Analysis Matrix for Development Practitioners," p.44.

D Assessing Needs/Identifying Projects

Deciding on a project which best suits the needs of a community is a difficult task. Communities must decide which problem they want to address and how they want to address it recognizing that any approach will have benefits and drawbacks. The next set of tools work to facilitate an analysis of the strengths and weaknesses of a given approach so that the most appropriate project can be selected.

21 Problem Case Analysis*

Problem case analysis is a way to involve group members in examining a problem in depth, so that they can better understand its causes and identify alternative solutions. A problem case analysis presents a brief description, with supporting data, of an external real-life situation that is used as the basis for analysis and discussion.

Purpose

Analyzing problem situations promote skills in assessing needs and identifying projects. This tool allows community members to develop critical thinking and task-oriented problem solving skills by examining causes and effects in cases other than their own situation.

Process

1. The facilitator presents a short problem situation and accompanying set of study questions to the group. If the level of literacy in the group is high, then the facilitator may hand out the case and ask participants to read along.

2. After introducing the case, the facilitator may subdivide the groups into smaller discussion groups, ensuring a representation of interests, gender, ethnicity, religion, etc.

3. The groups discuss the case using the questions as a guide.

4. After discussion, the whole group reconvenes to discuss the case. The facilitator should generate as much discussion as possible, writing down on the newsprint in words or pictures the suggestions offered by participants. (For more on promoting dialogue, see **Facilitation**, Tool #1.)

Materials

- Copies of the case studies and study questions
- Newsprint and markers

*Adapted from L. Srinivasan, *Tools for Community Participation*, 1992, pp. 104-105. H. Feldstein and J. Jiggins, *Tools for the Field*, 1994, pp. 223-228.

Notes to the Facilitators

Asking participants to reflect on problem situations other than their own gives them the freedom to be more critical.

It is preferable to use more than one case study. Since case analysis is new to most people, participants tend to be better prepared for discussion the second time around.

Example

Examining Problems in Leadership*

Ask the participants to study the case below. Participants may discuss in small groups and then unite to analyze the situation and propose alternatives to the case. Questions the facilitator may want to ask include:

- *How do you think the group members feel in this case?*
- *How would you describe this type of leadership?*
- *What could improve upon this situation?*

The chairman of a women's cooperative has called for a meeting of the membership to inform them of the impending visit of representatives from the community development office. Upon arrival, she finds the members seated in rows and three chairs, for the chairman, secretary and treasurer, facing the members. She greets those present and informs them that, in preparation for the visit, they must each donate some money for the food. She asks members to bring water and firewood to her house, where the food will be cooked. She also asks them to practice a good song to entertain the visitors. She concludes by saying, *"Is that clear? Can you start paying now? Those who do not have the money can pay tomorrow."* The chairman leaves with no clear decision made by the members.

The members start complaining and threaten to leave the group. They say, *"Everytime they ask us for money and never account for it! Why should we cook at her house? We can cook outside our church."* They continue to complain without reaching a decision.

*Adapted from Elvina Mutua, 1993, *Saidika*, p. 37.

22 Role Plays*

Role playing is a spontaneous dramatization. Each participant in a role play takes the part of a particular character and acts, as the actor perceives it, the sorts of behavior which that character would normally exhibit. Acting is then followed by discussion guided by a facilitator.

Purpose

Role playing is useful in solving problems involving relationships among two or more persons. It helps participants overcome misperceptions or unrealistic expectations that they may have of one another. Role playing permits one to step out of one's own view, momentarily, and see things from another person's perspective. It can help to ease tensions in a group by allowing people to laugh at themselves. Role plays can be helpful in clarifying role functions and in creating consensus within a group.

Process

- **Preparation.** The facilitator introduces the problem or story to the group. S/he may either read the story or, in literate groups, distribute the story in writing.

- **Selecting participants for role playing.** The facilitator can either ask for volunteers or assign roles. Individuals who identify with a particular situation will be able to handle the role play easily. On the other hand, players can gain insights by stepping out of a familiar role.

- **Recorder/Audience.** Those not taking part in the role play become participating observers. In addition to alert and receptive listening, viewers will take notes to refer to during the discussion following the role play. The entire performance can be recorded on video or cassette tape as a basis for subsequent evaluation and discussion.

- **Role playing.** Players assume the roles and "live" the situation, responding to one another's speeches and actions as they feel the individuals in those roles would behave. Since there is no

*Adapted from Fannie Shaftel and George Shaftel, *Role Playing in the Curriculum*, pp. 57-64.

set script, players must think and feel on their feet, spontaneously reacting to the developing situation.

- **Discussion and evaluation.** Follow-up discussion is one of the most vital phases of role playing. While role playing may influence attitudinal changes, it is the give-and-take of discussion that refines and informs problem-solving. At first the discussion may center on the players and action itself. Later, the exchange may focus on alternative proposals. The facilitator guides the discussion throughout with open-ended questions such as:

    - *What is happening?*
    - *Could this happen in real life?*
    - *What will happen now?*
    - *In what other ways might this situation be resolved?*

  Because the observers are not as emotionally involved and committed as the players, they are in a position to see different viewpoints or solutions to proposals more easily. Therefore, their participation in discussion is pivotal in helping people see other vantage points.

Materials

- Paper and pens, for recorders
- Videotape or tape recorder (optional)

Notes to the Facilitator

The focus of role playing is not on right answers but on the open exploration of a particular problem or situation. To that end, the process is as important as the solutions. Facilitators have the responsibility of drawing out both players and observers. See **Facilitation** (Tool #1).

Example

Role Play: Problem Identification in the Women's Association of La Tigra*

The following example is taken from the events at the meeting of the *Asociacion de Mujeres Unidas* de La Tigra held in La Tigra, Costa Rica on June 1, 1995.

In a preparatory meeting with an outside facilitator trained in the SEGA approach, two members of the *Asociacion de Mujeres* (one of whom was a facilitator for the group) talked about the difficulties currently facing their organization: conflicts with the neighboring women's group and internal management problems. The co-facilitators decided to stage a role play to explore possible solutions to these problems. Volunteers assumed various roles such as a: disruptive member, member from the neighboring women's group, new member, chatty member, and group facilitator.

After the role play, which lasted about 1/2 hour, the co-facilitators sought feedback from the participants and observers by asking a number of questions such as:

- *How did group members feel about interruptions and late arrivals on the part of other members?*
- *What steps can be taken by group members and facilitators to insure that every voice is heard?*
- *What do you think is happening between the Asociacion and the neighboring women's group?*
- *In what ways might the situation with the neighboring women's group be resolved?*

The outcome of the meeting was very positive: women discussed establishing ground rules for meetings and decided to extend an invitation to the neighboring women's group. Thus, members of the *Asociacion* were able to examine the group's internal and external problems analytically and introduce innovative solutions in a lively and engaging setting.

*SEGA field testing in La Tigra, Costa Rica, June 1-2, 1995.

23 Practical Needs/Strategic Interests Analysis*

Development activities tend to focus on marginalized people's practical needs. For example, many projects pay much attention to women's access to resources without considering their lack of control over those resources. This results in reinforcing women's traditional roles and responsibilities.

Practical Needs are associated with living conditions or material state. People marginalized by gender, ethnicity, class, religion and so on, may identify practical needs as those related to food, fuel, and water, the health and education of their children and opportunities for increased income. These needs can often be met through short-term development projects.

Strategic Interests refer to a particular group's subordinate position relative to the social and economic standing of the advantaged. It is measured, for example, by gender disparities in wages and unemployment opportunities, by the poor's lack of access to participation in democratic processes and decision-making, and by women's vulnerability to poverty and violence.

Purpose

This tool aims to distinguish between a priority group's short-term practical needs and long-term strategic interests. Disadvantaged people's awareness of their condition and position may enable them to become agents of their own development, as planners and decision-makers. This exercise will also increase the community's awareness of the patterns and imbalances of women's and men's work and relations.

Process

1. This exercise is best conducted in small focus groups after a project has been identified.

2. The facilitator should prepare a list of questions to be used as a guide in discussion.

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*Adapted from the Canadian Council for International Cooperation, August, 1991, *Two Halves Make a Whole*, pp. 32-38 and Caroline Moser, 1993, *Gender Planning and Development*, pp. 37-54.

Table 2.9. Summary of Practical Needs and Strategic Interests

Practical Needs	Strategic Interests
• Tend to be short-term • Unique to particular sub-groups • Related to daily needs • Easily identifiable • Can be addressed by specific inputs: food, handpumps, clinic, etc.	• Tend to be long-term • Common to almost all • Related to disadvantaged position • Basis of disadvantage and hope for change not always identifiable • Can be addressed by: education, enhancing organizations, political mobilization
Examples: food, fuel, housing, health, water, sanitation	**Examples:** educational opportunities, freedom from violence/abuse, access/control over resources, equity in wages, prestige/self-esteem, participation in local processes

3. Three major questions form the basis of this exercise:

   - *What **practical needs** of women and men are addressed by this project?*
   - *What **strategic interests** of the community at large, and priority groups in particular are addressed?*
   - *How could this project be changed to better address women's and other priority group's strategic interests?*

   More specific questions can help a priority group in assessing their needs and identifying projects.

   - *How does a particular problem affect women and men differently?*
   - *What is the level of a priority group's participation in defining needs?*
   - *Will women or other disadvantaged group benefit fairly, relative to privileged groups?*
   - *Is the project concerned merely with delivering specific inputs to the disadvantaged, or does the project expect their increased participation and ownership?*
   - *Will women gain increased control over resources, better access to financial resources and opportunities, more control over the benefits resulting from their productive efforts, and increased participation in decision-making in the family and community?*

- *In what ways can the disadvantaged be encouraged to participate in a project, given their subordinate position within the community?*

Notes to the Facilitator

Facilitation skills are key to the success of this exercise. See **Facilitation** (Tool #1). Working on a groups's strategic interests is a slow, incremental process. The facilitator needs to guide the group taking care not to raise unrealistic expectations or rush the process.

Strategic interests can also be addressed by conducting other socio-economic and gender analysis exercises:

- **Access and Control Profile** (Tool #16) can help a disadvantaged group analyze their condition and position.
- **Benefits Analysis** (Tool #18) can help identify the likely beneficiaries of a particular project.
- **Gender Analysis Activity Profile** (Tool #19) will help raise a group's awareness of gender inequities in resource access and control.
- **Gender Analysis Matrix** (Tool #20) will increase awareness of a project's functioning in relation to gender roles and responsibilities.
- **Problem Case Analysis** (Tool#21) will help participants analyze different situations and learn collectively.

24 Identifying Problems, Causes & Opportunities*

A variety of tools presented have described methods of participatory data gathering. Once data have been collected, a format is needed for analyzing the data set and addressing issues comprehensively. Identifying Problems, Causes and Opportunities is a way for village residents and technical staff or extension agents to work together to find ways to address problems.

Purpose

Identifying Problems, Causes and Opportunities initiates an interactive process between the community and a technical team. This process aims to organize assorted information into comprehensive lists of problems, causes and opportunities that can be analyzed and assessed.

Process

1. A team made up of both residents and technical or extension staff work together to develop a chart of problems and opportunities. Residents may also work on their own with community organizers. If technical staff is present, expertise should cover a range of areas such as agriculture, forestry, and water. Any interested residents can contribute but facilitators may want to divide into two or more smaller teams if many people want to participate (usually teams should be comprised of less than 10 people). In this case, two or more charts are consolidated into one. A good representation of participants across age, class, and gender lines helps insure that one group's views and interests are not over represented.

2. All data including charts, diagrams and maps that have been collected by previously conducted data-gathering exercises should be laid out for the team to review and discuss.

3. The team works together to identify and list key problems in the community. The list of problems come from the data collected in the community along with the team's own understanding of the community.

*Adapted from Ford *et al.*, *Managing Resources with PRA Partnerships: A Case Study of Lesoma, Botswana*, 1993 and Bronson *et al*, *Conducting PRA in the South Pacific*, 1995, pp. 51-53 and NES *et al*, *Participatory Rural Appraisal Handbook*, 1994, pp. 57-60.

4. The team next lists the causes of each problem. One problem may have more than one cause. This portion of the exercise helps in designing effective solutions because one must have a clear understanding of the causes of a problem in order to effect change.

5. The team now fills in the third category of the chart listing possible opportunities for solving problems. In this section and throughout the whole exercise the community members and technical staff each contribute their special expertise. Residents offer in-depth knowledge of the village while the specialists bring an outsiders' perspective and different technical know-how.

6. Options for solving problems should be as specific as possible. The team may want to divide into smaller groups to conduct site visits of potential solutions. For example, if the team has identified the construction of public toilets as a solution to poor sanitation, a small group should walk around the community to estimate how many toilets would be needed to service the community, where they may be placed, and what the cost would be.

7. Each solution suggested by the team should meet two important criteria: the community is both *capable* and *willing* to undertake the task. This emphasizes searching for solutions that are sustainable and rely on local resources. In this way the community can initiate and control the direction of change.

8. The chart of problems, causes, and opportunities completed by the team is presented at a community meeting. Leave space for residents to edit or amend the lists. The chart should be written clearly in large print for all to see.

9. The edited chart is then used as a basis for **Ranking Problems and Opportunities** (Tool #25) on the following pages.

Materials

- Newsprint paper and markers
- Compiled data from previous exercises

Example

Table 2.10. Problems, Causes, and Opportunities*
Hog Harbour, Vanuatu

Problems	Causes	Opportunities
Traditional cooperation is declining	• Different church beliefs • Politics • Individualism • Quarrels	• Bring village leaders and PRA participants together to address the problems • Youth groups hold sports events
Gardens are far away and spoiled by animals	• Methods used for gardening • Coconut land has expanded too much • Population has increased	• Use fallow land • Secure gardens with fences • Organize workshop to improve land uses • Seed advice from agricultural officers • Visit model farm
Women have too much work	• Cultural norms • Changes in lifestyle and farming practices • Too many children • Men don't help enough at home • Men make decisions without consulting women	• Have a workshop on gender roles and responsibility sharing • Pastor to support couples • Parents to teach children to help and respect each other
Natural resources have declined	• Used for money • Higher population • Changes in traditional ways of managing resources	• Chief and land owners establish regulations and control use • Increase awareness of resource conservation • Replant trees • Seek forest management advice
Village sanitation is not good	• Not enough toilets • No proper rubbish dumps • Pigs are too close to homes	• Establish a village planning committee to organize: more toilets; rubbish dump; better foot paths • Families to fence animals properly

*Adapted from Bronson et. al. 1995, *Conducting PRA in the South Pacific*, pp. 52-53.

25 Ranking Problems and Opportunities*

After problems and opportunities have been identified, the task remains to decide which problems are the most pressing and which opportunities for solution will be pursued. Ranking Problems and Opportunities brings together the community to discuss and agree upon priorities. The exercise helps increase awareness and foster community control over their own development by focusing on local priorities and initiatives.

Purpose

Ranking Problems and Opportunities draws on village perspectives and initiatives for solving problems. Ranking assists community members in establishing a realistic agenda given limited labor, financial and other resources.

Process

Ranking problems helps define which issues to address first. Ranking opportunities defines priorities for action that are most appropriate and sustainable for the community.

Ranking Problems

1. Assemble a community meeting and review the process of data gathering and the kinds of information that the team used to develop the problems, causes, and opportunities chart.

2. Display the preliminary chart prepared by the team. Review the information on the chart carefully with the community. Invite residents to offer comments and suggestions for including new information or making changes.

3. Work with the participants to prepare a list of the most pressing problems in the village. This could be all of the problems listed on the chart but if there are a lot of problems listed, a shortened list of the most intensive problems is sufficient.

*Adapted from Bronson *et al.*, *Conducting PRA in the South Pacific*, 1995, and NES *et al.*, *Participatory Rural Appraisal Handbook*, 1994.

4. Create a grid diagram large enough for everyone to see which lists the problems along the top and left side of the matrix (See Table 2.11). Each empty square of the grid represents a paired comparison of the problems which allows participants to rank problems two at a time against each other. This is known as pair-wise ranking.

5. Participants raise hands to indicate which of the two problems at issue they see as the most important. Community members may cover their eyes to minimize peer pressure during voting. Facilitators should not vote as this could sway the group. The problem receiving the most votes is listed in the appropriate square. Totaling the number of times each problem wins ranks its importance compared to other problems. See how this is done in Table 2.11.

Ranking Opportunities

1. Drawing again from the chart previously prepared by the team, discuss options for solving the problems that were ranked as the most pressing. Again, review the team's suggestions with community members encouraging new ideas and critical analysis of opportunities.

2. Rank actions that can be taken to solve each priority problem by creating another pair-wise ranking matrix with opportunities listed along the top and left side.

3. Discuss criteria to be used for ranking options before voting. Such criteria as cost, social and technical feasibility, sustainability, equity, and productivity should be considered.

Materials

- Large size paper and markers

Notes for the Facilitator

Ranking exercises can be done with groups separated by class, gender, age or other delineating variables. This is often most useful if groups do not cooperate well and the interests of one group appear to be marginalized. Men and women separately ranked problems during a PRA exercise in Vanuatu. Results showed that the problems

ranked highest by women were ranked lowest by men and vice versa. The results were combined to reflect the community's collective priorities. The exercise revealed different concerns and interests within each group and allowed a discussion of those differences which fostered better understanding.

Example

Table 2.11. Ranking of Problems*
Hog Harbour, Vanuatu

Problems	Natural Resource	Gardens	Cooperation	Women's Work	Health
Natural Resource		Natural Resource	Cooperation	Women's Work	Natural Resource
Gardens			Cooperation	Women's Work	Gardens
Cooperation				Women's Work	Cooperation
Women's Work					Women's Work
Health					

Problem	Score	Final Ranking
Natural resources	2	#1 Women's work
Gardens	1	#2 Cooperation
Cooperation	3	#3 Natural resources
Women's work	4	#4 Gardens
Health	0	#5 Health

*Consolidated from Bronson et *al.*, *Conducting PRA in the South Pacific*, 1995, pp. 53-56.

26 Community Action Plan*

Once a community has identified and ranked its key problems and opportunities, it needs to devise a plan for implementing solutions. The Community Action Plan (CAP) serves as an open community "contract" for action which spells out the steps to be taken to bring about change.

Purpose

The CAP is a means of identifying the actions necessary to solve a problem, and noting who will take which action and when. It helps a community take responsibility for addressing problems in a systematic way that builds in accountability. The CAP can also help development agencies to quickly assess whether a community's development priorities are consistent with the agency's focus.

Process

1. Drawing from the key problems and opportunities that emerged from the **Ranking Problems and Opportunities** (Tool #25) exercise, the facilitator works with an assembled community group to devise a CAP. The group should be dominated by community members as it is their interests the CAP is designed to reflect, but representatives of government agencies or NGOs may also participate.

2. A detailed example of a CAP prepared in advance serves well as a model to explain to participants the components of the CAP and the process of completing the plan. Specificity is important if a CAP is to be a useful guide to community change.

3. Depending upon the size and dynamics of the group gathered, the facilitator can work with the full group or break into smaller groups. Smaller groups can each work with a facilitator on separate problems or on different opportunities for the same problem. Groups should unite once they have completed their section to comment on each others work and offer suggestions for changes. The full group should agree on the final CAP.

*Adapted from Bronson *et al.*, *Conducting PRA in the South Pacific: Experiences in Natural Resources Management*, 1995.

4. The CAP covers the following areas:

   - **Opportunity** - states solutions identified for each problem
   - **Action** - notes steps to be taken for each opportunity
   - **Who Will Do It** - lists the groups or individuals committed to completing the action, thus building in accountability
   - **Date to Start** - stipulates when the action will begin
   - **Who Will Follow Up** - involves other community members in supporting the action and ensuring that it is accomplished

Materials

- Large size paper and assorted writing implements
- Charts ranking problems and opportunities for reference

Notes to the Facilitator

While the CAP should focus on actions that the community can undertake on its own, some solutions may entail forming partnerships with external agents. In such cases, the facilitator may want to work with the community on a comprehensive strategy for accessing aid from outside see **Building Alliances and Networks** (Tool #35), **Using the Media** (Tool # 38) and **Community Writing** (Tool #39) for some suggestions on linking communities to external agencies.

Group cooperation is important to the process of completing a CAP that a community is committed to following. See **Consensus Building** (Tool #3) for ideas on fostering group cohesiveness.

Example

Table 2.12. Community Action Plan
Hog Harbor, Vanuatu, September 1994*

Problem: Traditional Cooperation is declining
Objective: Find ways to revive cooperation through respect

Opportunity	Action	Who	Start Date	Follow-up
Bring village leaders and PRA participants together to find ways to revive a spirit of cooperation	• Hold evening meetings	• Chief • Village Pastors • Village Elders	• Last Friday in October, 1994	• Assistant Chief
Youth group representatives come together for sports events one Friday each month	• Church pastors bring two youth groups together • Hold meetings to improve sports facilities • Advise village leaders of initiatives	• Youth leaders • PRA participants	• October 14, 1994	• Youth groups members and PRA participants

Problem: Women have too much work
Objective: Reduce women's workload

Opportunity	Action	Who	Start Date	Follow-up
Have a workshop on gender roles and sharing responsibilities	• Organize a meeting to set up the workshop	• Two church women's groups	• October 11, 1994	• Female PRA participant

*Consolidated from Bronson *et al.*, *Conducting PRA in the South Pacific*, 1995, pp. 57-60.

E Planning and Formulating Projects

Once a project focus has been chosen, communities and development agents need to work together to clarify the components of the project from beginning to end. Critical components include establishing who will be responsible for which tasks, and in what time frames. The tools in this section help systematize planning processes at the local level.

27 Contextual Analysis*

The SEGA model highlights three levels of social interaction: 1) households, 2) social institutions, and 3) natural and socio-economic resources (See Figure 1.) Constraints to and opportunities for social equity are embedded in interlinking systems. A development program which seeks to improve the situation of disadvantaged groups must analyze how systems at all levels interact to affect a marginalized group. A contextual analysis is a method for systematically threshing out obstacles and opportunities for change. A contextual analysis undertaken with community members allows participants to work with project or planning teams to analyze situations and state their priorities and perceptions. Community participation offers a richer analysis than a project team could conduct in isolation Participatory formats also function as a tool for community empowerment.

Purpose

Contextual analysis is a tool for examining the various systems interacting to influence a priority group's circumstances. Use of the tool allows a systematic analysis of factors contributing to marginalization as well as a means to strategize for change.

Process

1. A contextual analysis is best conducted in small group settings with a facilitator.

2. The facilitator should prepare an outline of the contextual analysis chart which can be filled in during the meeting.

3. For the sake of clarity, only one marginalized group and one issue should be addressed per chart. The example on the following page is based upon the SARTHI case and looks at women's relation to common lands.

4. The examination is based on the following questions:
   - *What are the conditions at each level which influence the issue?*
   - *What assumptions/causes gave rise to these conditions?*

*Adapted from Rosalie Huisinga Norem, 1993, and the GENESYS Project, *Gender and the Environment*, 1994

- *What changes are needed in order to achieve equity?*
- *What constraints hamper change?*
- *What interventions or actions can improve the situation?*

5. When the contextual analysis is completed, groups may want to discuss which types of changes are the most attainable noting how actions often overlap across levels to address the same problem. Drawing from this analysis, groups may want to develop a **Community Action Plan** (Tool #26). The changes and actions can also be mapped out using the SEGA model as a guide.

Materials

- Newsprint, paper and markers

Notes to the Facilitator

The facilitator's familiarity with the tool and the community context along with strong **facilitation** skills (see Tool #1) will help to realize the most benefits from this exercise.

Some communities may have difficulty analyzing particular context levels. For example, communities amy not know the status of legal doctrines affecting an issue. Facilitators should work with the project team to gain a background in the issues so that the session can also offer educational components where appropriate.

A contextual anaysis may be a complex tool to introduce at early program stages for some communities. This manual offers a variety of tools from which to choose with varying levels of complexity. Facilitators and project teams should think critically about appropriateness of this and all tools.

Example

Table 2.13. Contextual Analysis: The Adivasi Community in Gujarat

Context	Conditions	Assumptions Causes
Households	Women are responsible for gathering biomass	Subsistence work is seen as women's work
Social Institutions		
Political	National government owns common lands	Government controls land and should earn revenues from resource extraction
	Village government controls use of wastelands	Local government should manage land for community use
Legal	Laws protecting Adivasi land rights as a tribal minority make no provisions for women	It is not deemed necessary to guard women's rights separately
Cultural	Women have no ownership or control over resources	Men will care for women and protect their interests
Socio-economic Base		
Capital	Women have little access to cash income	Subsistence farming does not generate savings and women do not own common lands
Knowledge/ Information	Women's specialized knowledge of sustainable farming has not been included in government wasteland programs	Women's contribution is not valued by male-dominated institutions
Natural Resource Base		
Land	Land that women have access to is degraded	Land management strategies don't include women's priorities

Change Needed	Constraints	Actions/Interventions
Men and women share more equitably in livelihood tasks	Traditions	
Policies allowing local groups to manage lands sustainably Grant formal consent for women to regenerate and manage wastelands	Existing policies; Economic interests; Tradition	Open dialogue with policy makers to encourage local control emphasizing sustainability Open avenues for women's participation and representation in politics
Legal code should protect women's land interests	Existing legal code	Change code
Men and women should engage in partnerships sharing resource control	Tradition; Lack of women's empowerment	Empower women through organization, education and consciousness-raising
Women need access to capital	Common land does not serve as collateral	Develop women's savings group for credit and emergency loans
Use women's knowledge to rehabilitate wastelands	Gender-bias; Women don't participate in government	Organize women to rehabilitate and manage lands Open dialogue between women's groups and governments to allow women's participation in processes
Women need to have control over land resources	Tradition; Lack of women's inclusion in decision-making	Women gain permission from government to lease common lands

28 The Problem Tree*

A problem tree ranks problems, providing a visual way to understand the relationships among problems faced by a community.

Purpose

The problem tree exercise enables a group to identify key problems, debate the cause-effect relationships among them, establish a hierarchy of problems, and construct a tree which will clarify the relationships visually.

Process

1. Ask the group to list problems faced by the community. Problems may come from participatory exercises conducted previously. See **Identifying Problems, Causes and Opportunities** (Tool #24) for ideas on how to list problems.

2. List the problems mentioned horizontally on a large paper or on a blackboard. List the same problems vertically and make a matrix.

3. Focus attention on the horizontal list and pair it with the problem on the vertical list. For example, if education and unemployment have been listed as problems, ask the question: *Is low education the cause of low education?* This could be left blank. Now ask the question: *Is low education the cause of unemployment?* If the answer is yes, put a check mark on the box corresponding to the intersection of this tree problem. If the answer is no, do not put any mark. Complete the matrix, moving down the vertical list for each problem on the horizontal list.

4. Count the number of checks on the **horizontal** row for a particular problem. The item with the most checks is the major **problem**. Items with fewer checks are effects.

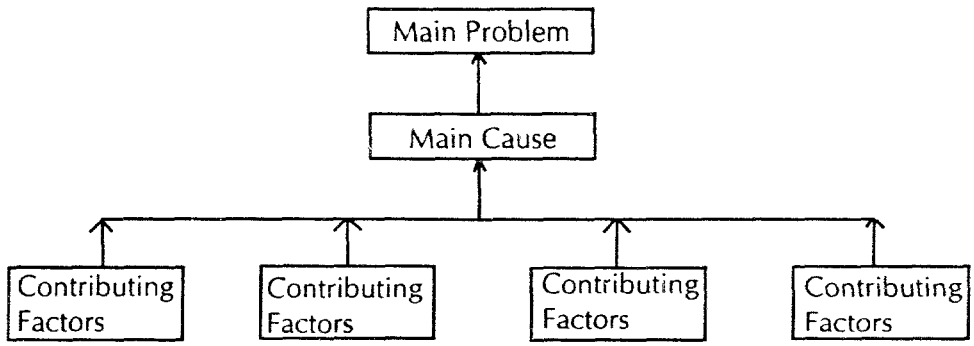
5. Count the number of checks in each **vertical** column and write this number at the bottom of each column. The column with the most checks is the major **cause**/causes. If several columns have a

*This tool for creating a problem tree is adapted from Rachel Polestico, n.d., *Manual for Participatory Planning for the Westy Program of the Archdiocese of Nuevo Caceres.*

similarly high number of checks, these may all be considered important causes.

6. Diagram the cause-effect relationship elicited by analysis by creating a problem tree. The problem tree, at one glance, enables people to identify and prioritize problems together. The basic structure should be as follows:

Table 2.14. Problem Tree Format



Materials

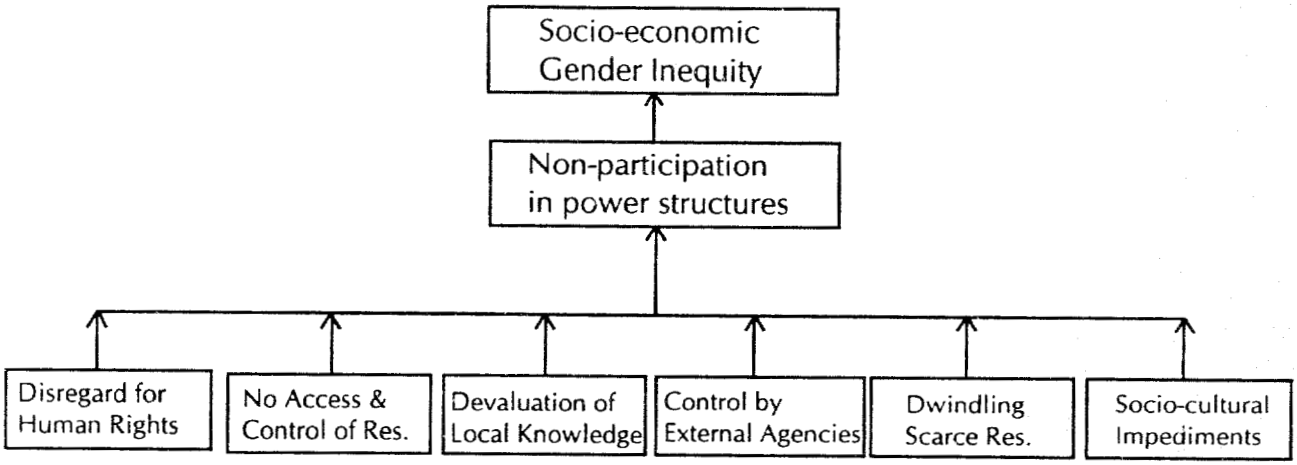
- Newsprint, markers and tape

Example

Problem Tree

We can demonstrate the factors leading to inequitable and unsustainable development in the form of a Problem Tree which identifies the main problem as a broad range of socio-economic and gender inequities existing throughout the world today. The underlying cause of these inequities is the disenfranchisement of the vast majority of people who have little control over the decisions and resources which affect them. The secondary causes of this situation are numerous ranging from the devaluation of their knowledge systems to the concentration of these resources in the hands of the privileged few.

Table 2.15. Using the SEGA Approach to Develop a Problem Tree



29 Objective Tree*

The objective tree builds on the **Problem Tree** (Tool #28). Once the problems are identified, the Objective Tree helps groups to think systematically about solutions to these problems.

Purpose

The objective tree enables a group to determine the activities which will lead them to the solutions for the problems they have identified. The tree helps participants to map out solutions logically.

Process

1. Working with a group of community members, facilitators lead a group discussion about how to bring about an improvement in the problem situation. Ask what members think might be done to change a situation.

2. On a large paper or blackboard write ideas for the types of changes people would like to see and how to bring about those changes.

3. Encourage people to think of several different ways to bring about change so that the most feasible tactic (and not simply the first one thought of) can be pursued.

4. Formulate an Objective Tree following the format in Table 2.16. The types of changes are the "results" and the ways to bring about the change are the "activities."

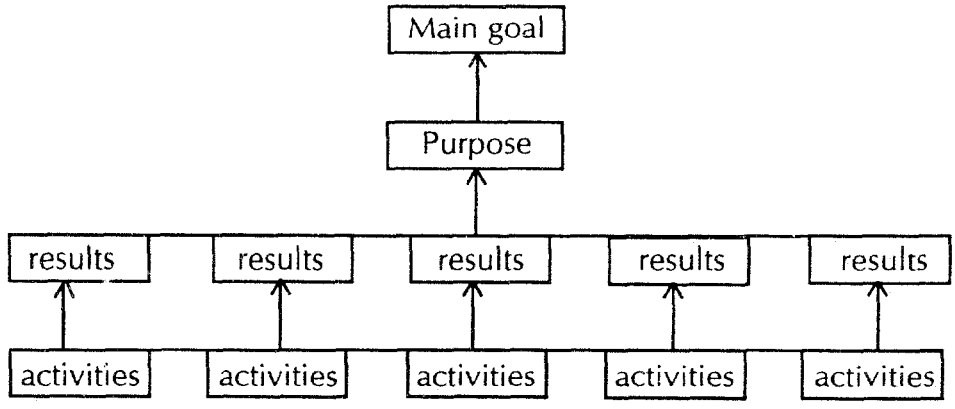
5. Consider what could be done and note ideas on the objective tree.

Materials

- Newsprint, markers and tape

*The description of the objective tree is adapted from Rachel Palestico *et al.*, *Manual for Participatory Planning for the Westy Program of the Archdiocese of Nueva Caceres.*

Table 2.16. Objective Tree Format



Notes to the Facilitator

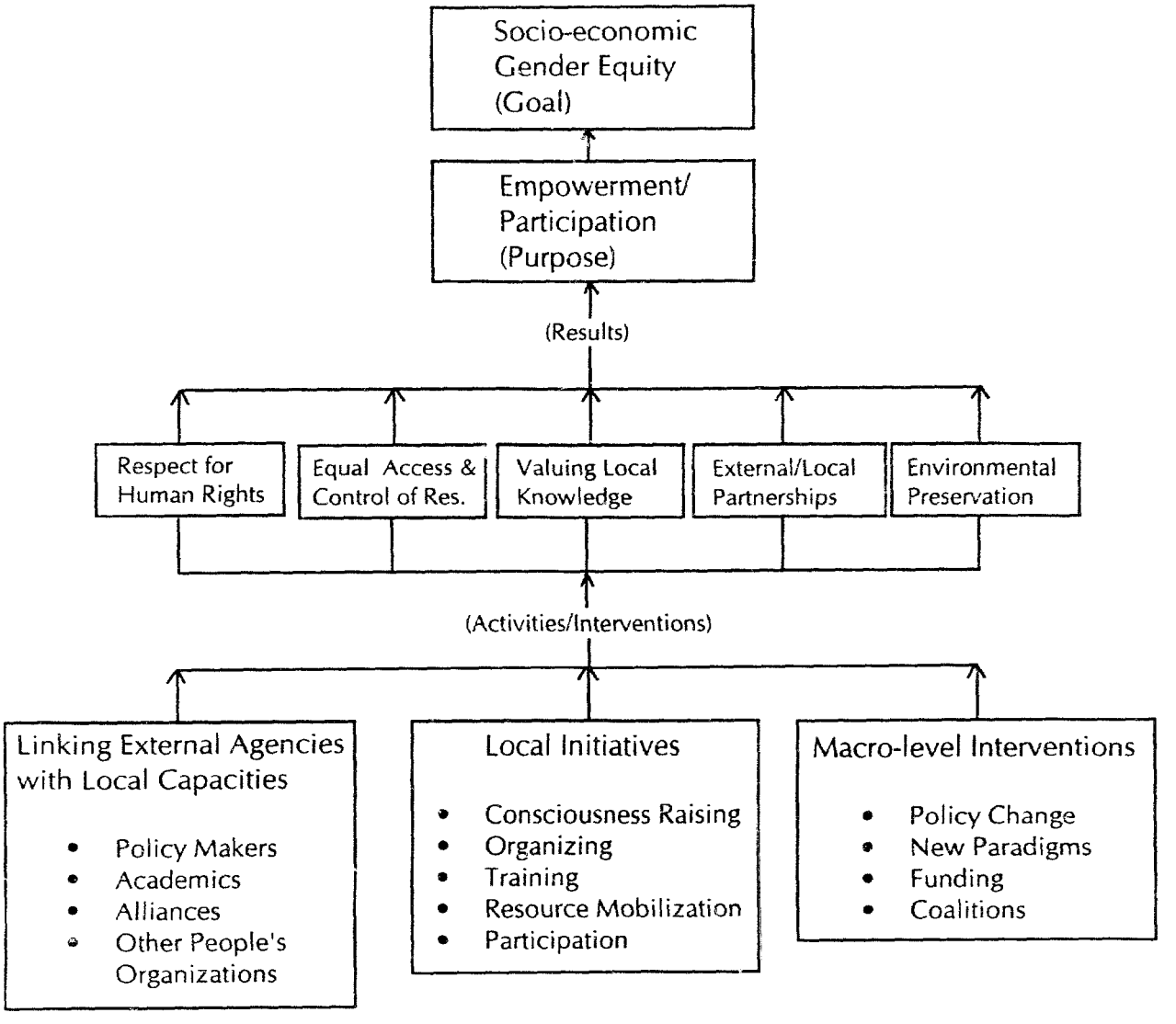
To be effective, the objectives need to be SMART: Specific, Measurable, Attainable, Realistic and Time-bounded.

Example

Objective Tree

We can use this type of analysis to formulate an Objective Tree which suggests ways of redressing the conditions specified in part I of the SEGA manual. The underlying objective of any development effort should foster socio-economic and gender equity through the empowerment and participation of the disadvantaged groups. This involvement can result in a variety of beneficial outcomes as noted below. The enabling interventions can include local participation, macro-level policy changes, coalitions, and organizational changes, as well as fruitful linkages between local and external capabilities.

Table 2.17. Developing an Objective Tree for SEGA



30 Story With a Gap*

Involving local communities in planning processes often requires participants to utilize skills which they may not be accustomed to using in formal settings. Disadvantaged groups in particular may not have experience in planning, and may doubt whether their contributions are valid. Story With a Gap uses "before" and "after" scenes of a problem situation to simplify the planning process, and to allow all individuals an opportunity to participate in a dialogue.

Purpose

Story With a Gap uses visuals to foster analytic thinking in planning. This method allows community members to discuss the planning process in an unstructured way which encourages full participation.

Process

1. Depending on the size and character of the group, the facilitator may work with the full group or divide into subgroups. If some people do not feel comfortable within a larger group setting, it may be best to subdivide.

2. Show a prepared "before" picture or ask participants to draw their own picture depicting a problem situation. Ask participants to describe the picture and react to the problem. If the facilitator prefers, s/he may create a story about the people in the picture. The story should lead to a crisis point where something must be done to address the situation.

3. Ask participants to speculate how the situation became so dire. For example, if the picture shows a broken water pump, participants may suggest that no one knows how to fix the pump or that too many people are using the pump or that someone has purposely destroyed the pump.

4. Once the group has sufficiently discussed the "before" situation, introduce a prepared "after" picture or ask participants to draw a picture which shows an improved situation or a solution to the problem.

*Adapted from L. Srinivasan, 1993, *Tools for Community Participation*, pp. 118-120.

5. Ask the group to think about how the situation moved from the "before" to the "after" scenario. Ask participants who may have worked to better the situation? Villagers? The government? NGOs?

6. Ask the participants to think through the steps that led to the improved condition. The facilitator should encourage as much input as possible, writing down in words or pictures for all to see the steps that are suggested by participants.

Materials

- Two large posters with the "before" and "after" scenes or paper for participants to draw the scenes
- Newsprint to note steps suggested by group
- Markers

Notes for the Facilitator

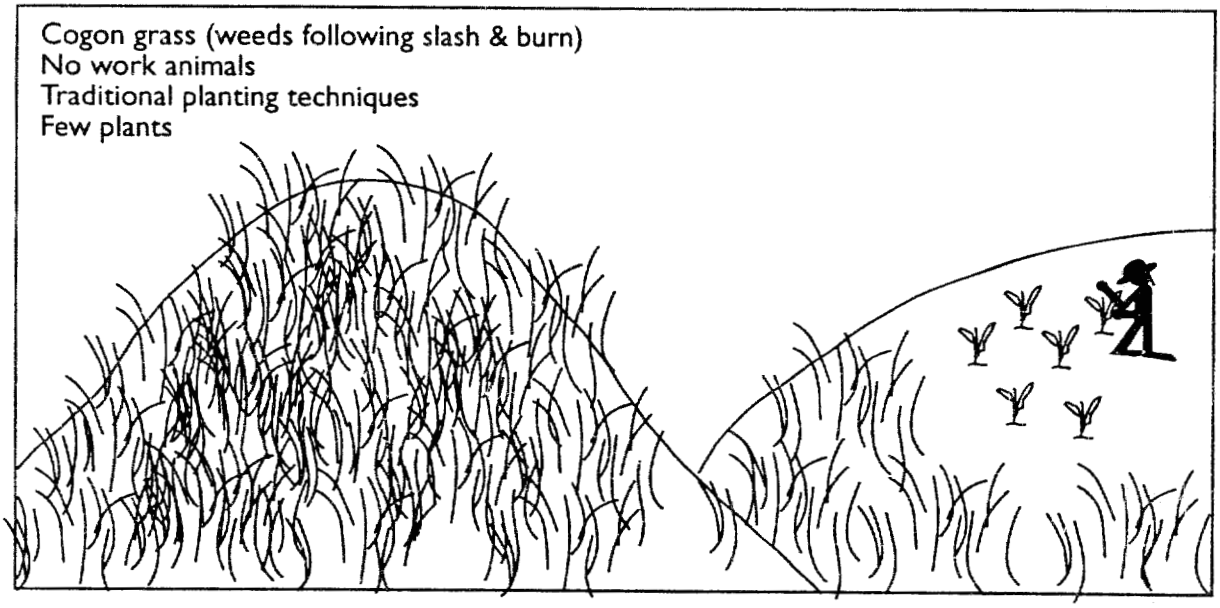
The pictures need not be elaborate as long as they are clear. Stick figures and simple drawings will do if other pictures are not available.

This tool may work effectively in some settings as a bridge to more elaborate planning tools (**Community Action Plan** Tool #26 and **Log-frame Tool** #33). Once participants feel empowered in planning, they can build toward more formal tools and detailed plans.

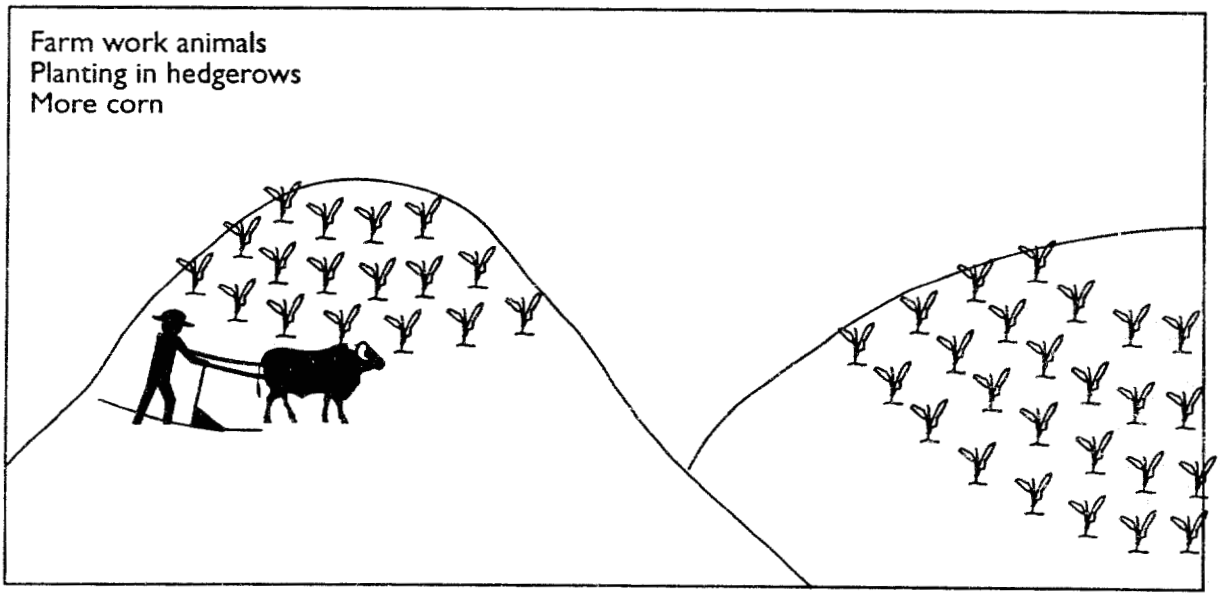
Example

Figure 2.8. Story With a Gap "Before" and "After" Pictures*

Before



After



*Source: SEGA field testing in Taglimao, Phillipines, May-June 1995.

31 SWOT Analysis*

SWOT is an acronym for Strength, Weakness, Opportunity and Threat. It is a brainstorming technique for analyzing the internal forces (strengths and weaknesses) and the external forces (opportunities and threats) acting on a potential or actual project or business.

Purpose

SWOT analysis provides a simple but effective means of assessing needs, identifying projects, comparing possible projects and monitoring the implementation of projects. This tool may be useful in helping a community identify the advantages and disadvantages of a certain undertaking.

Process

1. Explain to the participants the purpose of SWOT.

2. Introduce the SWOT chart below, explaining that the strengths and weaknesses focus upon factors internal to the project, *i.e.*, the way in which a project is run. External factors are the opportunities and threats from the outside environment that affect a project, *i.e.*, outside funding sources.

3. If the group is large, divide the participants into smaller groups of less than 15 people, if possible. Ask each group to analyze the project using the SWOT chart. If comparing the feasibility of various projects, have each group analyze a different project.

4. For each strength, weakness, opportunity and threat listed in step 3, ask participants to think about what steps could be taken by community members running that project:

   - *How can the group build on its strengths?*
   - *What changes could be made, as suggested by the weaknesses?*
   - *What can the group do to take advantage of the new opportunities?*
   - *How can the group protect itself from the threats?*

---

*Adapted from Tototo Home Industies and World Education, Inc., *Faidika*, pp. 22-23 and Rachel Polestico et *al.*, *Manual for Participatory Planning*, p. 34.

5. After about one half hour, reconvene as a large group. Ask each group in turn to present its SWOT analysis to the other participants. Allow time for discussion.

Materials

- Newsprint, markers and tape
- Large SWOT chart
- Enough charts and pens for small groups

Notes for the Facilitator

If participants are illiterate, invite people to participate verbally. The facilitator may write down the ideas and assign symbols for various ideas. The facilitator should restate the main points periodically for all participants to follow.

Example

Table 2.18. SWOT Analysis: Women and the Boat

Below an abbreviated SWOT chart of the Kenyan women and the boat enterprise (Scenario # 2) shows the internal strengths and weaknesses and external opportunities and threats facing the Mkwiro women's group, as the women explored a possible expansion of their ferrying business. Tototo helped the women work through their decision-making process by using a more detailed SWOT analysis.

Internal		External	
Strengths	**Weaknesses**	**Opportunities**	**Threats**
Capacity to work Marketing skills Leadership skills Successful ferry venture	Illiteracy Innumeracy Dependence on men Reliance on Tototo	Tototo support Credit availability Boat supplied by CIDA Potential partnership with park	Religious restrictions No political & legal voice Possible competition

The figure below shows the sustainability strategies that capitalize on the strengths and opportunities and the turn-around strategies that minimize the weaknesses and threats facing the Mkwiro women in their boat venture.

Table 2.19. Sustainability and Turn-around Strategies Using SWOT

Sustainability Strategies	Turn-around Strategies
• Expand business using leadership and negotiation skills • Empower disadvantaged groups through project • Utilize existing support to influence other organizations • Document story to inform policy makers and academics	• Organize consciousness raising groups about constraint issues • Implement literacy and numeracy programs • Teach proposal writing skills to literate women • Build coalition to advocate for gender equity

32 Forcefield Analysis*

In any situation there are enabling factors and hindering factors. The community wants to minimize the problems it will have in identifying, designing and implementing a development strategy or a specific project. Therefore, it needs to analyze the factors which will help build an effective strategy and those which will detract from it. This process is called forcefield analysis.

Purpose

Forcefield analysis is a useful step in project formulation and design because it helps the community to reflect on the forces in the environment which may help or hinder project implementation.

Process

1. Draw a straight, vertical line representing a tension between all the forces that would help you with your strategy (arrows pushing to the right) and all the forces that would get in your way (arrows pushing to the left).

2. With the group list all the helping forces which will create an enabling environment for the project or objective. For example, in the case of Lesoma, Part III, Scenario 4, the Department of Wildlife and National Parks is willing to train village-based patrols, clearly a "helping" force.

3. Then list all the hindering forces which will make this strategy more difficult. Issues of salary and equipment are among those which need to be sorted out for Lesoma.

4. Develop a complete list of helping and hindering forces.

5. Ask the group to discuss the following questions:

   - *Do we have some influence over any of these forces? Which ones?*
   - *Can the effects of any helping forces be increased? How?*
   - *Can the effects of some hindering forces be reduced? How?*
   - *What new forces might be generated to help carry out this project/strategy?*

*Adapted from Dorothy P. Craig, 1978, *Hip Pocket Guide to Planning and Evaluation.*

Materials

- Newsprint and markers; or
- Chalkboard and chalk

Notes to the Facilitator

This exercise can clarify important information about a strategy which is under consideration and should facilitate the decision process. The exercise should be carried out in connection with an assessment of the resources available to implement a given strategy.

A Forcefield Analysis can be used in tandem with a **SWOT Analysis** (Tool #31) to help think through the strengths and weaknesses of a given project or process.

Example

Table 2.20. Forces at Work in Establishing Village-based Wildlife Patrols, Lesoma, Botswana*

In Lesoma, Botswana, members of the community are very concerned about damage to their fields from wild animals (See Part III, Scenario #4). They are contemplating establishing village-based wildlife patrols. They need to analyze what conditions/factors in their situation will facilitate the effective organization and implementation of such patrols, and what conditions and factors might make it difficult for them to operate.

Helping Forces—>	<—Hindering Forces
• Dept. of Wildlife will train village-based patrols • Opportunity for employment • PRA exercises opened dialogue among different groups	• Competition for limited natural resources • Ethnic conflict • Insufficient economic resources for salaries • Lack of equipment

*Adapted from *Ford* et al., 1993, *Managing Resources with PRA Partnerships: A Case Study of Lesoma Botswana.*

33 Project Planning Matrix*

The Project Planning Matrix or Logframe is a planning tool which helps project designers and stakeholders understand the causes and effects between objectives in developing an overall program or project.

Purpose

The purpose of the logframe is to provide clarity in regard to overall program/project goals, its specific purpose, the anticipated outputs, and the required activities. It enables the planning group to clarify the critical components of a project, their assumptions, linkages and relationships. The tool is also useful in improving project implementation, monitoring and evaluation.

Process

1. Review the logframe matrix shown below.

Table 2.21. Logframe

Hierarchy of Objectives	Objectively Verifiable Indicators (OVI)	Means of Verification (MOV)	Important Assumptions
Program or sector goal	Measures of goal achievement	Sources of data needed to verify goal indicators	External factors (outside the control of the project) necessary to sustain objectives
Project purpose	Conditions that indicate that purpose has been achieved: end of project status	Sources of data needed to verify purpose	External factors needed to attain goal
Outputs	Measures to verify accomplishment of outputs	Sources of data needed to verify status of outputs	External factors needed to attain purpose
Activities	Summary of the project budget	Sources of data needed to verify status of activities	External factors needed to accomplish activities

*Adapted from L. Cooley, 1989, "The Logical Framework," and R. Polestico *et al.*, *Manual for Participatory Planning for the Westy Program*, pp. 25-28.

2. The Logframe vertical axis assumes that there are four levels of objectives in a project. (There is, of course, no logical limit to the number of levels, just a practical one.) There are many similar terms used for the word *objectives* – goals, purpose, results, outcomes, etc. In this case, we use the word *objectives* as a generic term for all of these. Clarify for the group building the logframe the following components:

   - **Goal level:** What will this project achieve? The goal statement is a single statement of the program rationale. It does not contain multiple objectives. The goal level may include targets beyond the scope of the project planned.

   - **Purpose level:** Why is the project being done? The purpose describes the desired impact of the project. For practical reasons, we recommend that the project has a single stated purpose, because multiple purposes diffuse project efforts and weaken the design.

   - **Output level:** What will this project accomplish? Outputs are results. All outputs necessary for achieving the purpose are listed. The kind and magnitude of outputs are so stated that progress toward them can be verified, in terms of quantity and time.

   - **Activities level:** How will the project be implemented? Activities are actions identified to produce outputs. Activities make clear what it will cost to achieve the purpose (e.g. funding, staffing, equipment, other resources.) Activities together with the appropriate assumptions create the necessary and sufficient conditions to achieve the outputs.

The horizontal axis consists of **Objectively Verifiable Indicators (OVI)**, **Means of Verification (MOV)**, and **Assumptions**. Definitions for these terms are:

- **Objectively Verifiable Indicators (OVI):** Indicators tell us how to recognize successful accomplishment of objectives. They are not conditions necessary to achieve those results.

- **Means of Verification (MOV):** Where will the information be obtained to demonstrate what has been accomplished?

The MOV defines how and from what sources data or evidence will be collected.

- **Assumptions:** Assumptions are statements about external conditions which are outside the control of the project. Assumptions may describe important natural, political, or social factors necessary for the achievement of a particular objective level.

Materials

- Newsprint, markers and tape
- Large Logframe matrix

Notes to the Facilitator

Logframe is only one of several tools that can be used during project preparation, implementation and evaluation. It is a difficult tool to be used on its own. We recommend doing the **Problem** and **Objective Trees** (Tool #28 and 29) before the Logframe so that problems and objectives are defined first.

Logframes are often misunderstood. Confusion around the use of the tool centers on two points: 1) terms and definitions are too abstract; and 2) the structure is too rigid. In field testing the logframe in Conception de La Tigra, Costa Rica, on June 9, 1995, we found that we needed to restructure the tool in working with field level program leaders, some of whom had limited formal education. For example, since the terminology was not clear to the participants, we renamed and reordered the categories in the horitzontal axis to read: **Goal, Factors that Support the Goals, Indicators of Success, Sources of Data to be Collected.**

It is important to bear in mind that the purpose of this and all other tools are to help development planners and community groups focus on dialogue, participation and discovery. If the structure or terminology of a tool prove to be an obstacle to these goals, then they should be modified to fit the context.

Example

Table 2.22. Logframe Matrix for the SARTHI Project

Below is a logframe prepared for the Social Action for Rural and Tribal Inhabitants of India (SARTHI) in relation to the organization's work in Panchmahals District of Gujarat State with the Adivasi women. The project has helped women organize around the rehabilitation of degraded common land and some related ecological and economic livelihood projects. The work is described in Part I of this manual.

Narrative Summary	OVI	MOV	Assumptions
Goal • Improved livelihoods for women	• Women's training and involvement in groups • Collective tenurial rights for women over community resources	• Data obtained from: Surveys Focus groups SARTHI interviews	• Value to improving women's status • Importance ofstrategic and practical needs • Powerful groups will not interfere or can be won over
Purpose • Meet biomass needs of Adivasi women	• New supply of fodder and fuelwood from wasteland • Access to nutritionally and medically valuable trees and shrubs • Formation of savings groups	• Count # of groups • Conduct bio-survey • Obtain data from SWRC	• Availability of trained field staff • Possibility of creating public and social space for women
Outputs • Analysis of land-use • Improved fodder/fuel-wood supply and use • Rehabilitate degraded land • Healthy livestock	• Train health workers and paraveterinarians • Vaccinate 3000 cattle • Work on wastelands	• Participant observation of land-use, meetings • Interviews • Government records • SARTHI records	• Can strengthen groups so leaders can't manipulate them • Sufficient interest among women
Activities • Organize SARTHI resource projects • Train village workers • Train SARTHI staff • Work donated wastelands	• Train health workers and paraveterinarians • Train SARTHI staff	• SARTHI reports • Group discussions • Random sample survey • Wasteland records	• SARTHI resources available • Outside support available • Government is supportive

34 Timeframe (GANTT) Chart*

Any group embarking on a project or related development activity needs some guidelines for completing the various phases of the activity. The GANTT chart is a bar chart enabling the group to assess how much time each stage will take in order to complete the entire process in the time allocated. It helps people focus energies on priority activities and it facilitates re-evaluation about the process so that the group can make revisions if things are not working out exactly as planned. It is useful to post a GANTT chart where all participants can see it.

Purpose

The purpose of the GANTT chart is to clarify for all involved the major stages of a project and the time frame in which it is to be completed.

Process

1. On the blackboard or on a large paper, list in the first column on the left the various activities which must be undertaken to complete the project.
2. On the horizontal axis note the appropriate unit of time, e.g. days, weeks, or months.
3. Working from left to right, plot the activities on the chart as they must occur over time in relation to other activities.
4. Establish a clear beginning and completion date for each job. Draw the lines so that their lengths are proportional to the planned duration of each activity.
5. Monitor progress on each activity by drawing solid lines parallel to and below the dotted lines to show actual duration for completed activities.
6. Make the GANTT chart available to all participants in the project.

*D. Craig, 1978, *Hip Pocket Guide*, p. 70.

An example of a GANTT chart is noted below in relation to the Nepal case on maternal health care. The maternal and child health team is undertaking basic data gathering in Palhi village. The team has devised a schedule and a plan for completing this work.

Materials

- Paper or posterboard and markers; or
- Feltboard or other means of making a chart

Notes to the Facilitator

There are other similar, but more complicated, techniques for keeping track of planning processes, namely the PERT chart* which tracks activities and the time needed to complete them. It links tasks and shows the time needed to complete each, thus emphasizing the linked responsibilities in a schedule.

Example

Table 2.23. GANTT Schedule**

ACTIVITY	January 1 2 3 4	February 1 2 3 4	March 1 2 3 4	April 1 2 3 4
Wealth Ranking	- - - ——			
Mobility Mapping	- - - ——			
Key Informant Interviews	- - - - - ——	- - - - ——		
Focus Groups for Trendlines			- - - - - - - - ——	
Venn Diagrams			- - - - - - - - ——	
Priority Group Analysis		- - - ——		
Household Interviews				- - - - - - - - ——
Monitoring Maternal/ Child Health	- - - - - - - - - - ——	- - - - - - - - - - ——	- - - ——	——

- - - Projcted Schedule

—— Actual Schedule

*PERT stands for Program Evaluation and Review Technique. An explanation of this technique can be found in D. Craig, 1978, *Hip Pocket Guide*, p. 71.

**See Part III Scenario #1 for data gathering tools used in Palhi.

F Strategizing for Change

Communicating with officials and outsiders can be a new and daunting task for marginalized groups. Tools that help local groups convey information can empower them to influence policy makers and effect policy changes. Building alliances, assessing risks, documenting processes, using technological tools and the media, and writing proposals can help communities represent themselves in larger circles.

35 Building Alliances and Networks

A network or coalition is an alliance between two or more independent organizations. Each organization remains autonomous, but works collaboratively with other organizations to achieve a common goal or goals. A coalition may be formal and structured or informal and unstructured depending on its purpose and size (See "Structural Considerations" below). It may be formed for a short duration to coordinate local aid efforts, for example; or a network may be organized with the expectation that it will continue to exist over a long period, often to implement a particular program or policy issue of on-going concern.

The farm-to-market networks in the southeastern part of the United States (Part III Scenario #9) provides an example of a long-term coalition established to address the crisis of Black farmers' land loss by developing regional markets for small farmers.

Purpose

A coalition may be formed with a single purpose or a set of goals. Community-based organizations have formed networks to:

- share information and resources internally;
- provide training and technical assistance;
- publicize an issue of concern and educate specific constituencies about that issue;
- respond to a local crisis situation by harnessing social, political, financial or physical resources;
- advocate for a particular issue, such as access to more resources or stronger political voice;
- provide a more systematic, coordinated approach to program planning and implementation;
- avoid duplication of services and fill gaps in service delivery;
- support political candidates or policies;
- improve opportunities for new pilot projects; and
- accomplish what individual members cannot.

Process

1. **Identify the issue(s) for which you would like support.**

2. **Identify various organizations that have a stake in this issue.** Decide whether you will accept individual as well as organizational members, and if so, whether any person may join or whether individuals must represent a particular segment of the community. Be sure that the network membership broadly reflects the community. Include women and representatives of various cultural, ethnic, religious generational, and socio-economic groups.

3. **Determine, as a group, the network's appropriate purposes, scope, and priorities.** Resolve what the coalition will do and what it will NOT do.

4. If the group is large, **select a steering committee or other leadership group**, which is representative of the range of interests in the full membership and is acceptable to the full membership. Use the steering group to encourage positive results, resolve problems that may arise, and conduct outreach for new members.

5. **Establish committees or task forces to plan for various aspects of the network's activities**, such as advocacy priorities, specific agendas, publicity and procedural matters. Involve all members in at least one committee.

6. **Assess progress at the end of six months and make necessary changes.** Coalitions take time to become strong; cooperation and trust among groups develops gradually on the basis of positive experience.

Structural Considerations in Building Coalitions

Setting up a working relationship with other organizations means addressing practical realities, defining group roles and individual relationships while maintaining the integrity of each member organization. Structures and processes that encourage open discussions of vested interests and group cooperation are needed. The structure must allow for the active, effective participation of all members. The smaller and more informal the group, the less structure required.

In a large, formal coalition, a board of directors may be established to determine roles and responsibilities or to monitor the coalition's program, finances and management procedures. The board's decisions may need approval by the boards of directors of member organizations. Agreements can be arrived at among participating groups.

In an informal, short-term network, the institution of a board of directors may not be practical or worthwhile; however, a board of directors may be advisable if there are plans to seek outside funding to support the coalition. Advisory boards can be useful for providing a liaison to the community and the intended beneficiaries of a program.

Notes to the Facilitator

A coalition has the greatest chance for success if it:

- has a manageable scope of activity. If the coalition addresses one of two "winnable" tasks, it can experience some early success
- involves all of its members
- focuses on activities which would be difficult for member organizations to address successfully on their own

Table 2.24. Forces at Work in Building Networks

Supports		Barriers
Inclusive, diverse membership →	←	Exclusive membership
Clearly defined purpose →	←	Lack of direction
Long-range view →	←	Lack of focus
Action orientation →	←	Fear of Advocacy
Sense of community →	←	Factionalism
Facilitative leadership →	←	Inadequate or controlling leadership
Celebration, humor →	←	Focus on deficiencies
All member input on agenda →	←	Lack of interest

Example — A local social service network in the United States.*

In a number of communities in the United States there is an informal network of social service groups offering assistance to poor families. One such network emerged in response to a crisis situation in the Gardner area, comprising a small city and five surrounding towns in central Massachusetts. Two social service agencies (the Department of Social Services and Mental Health) met to provide joint services to a client. Out of their initial meeting the Gardner Area Inter-agency Team (GAIT), a forum for about two dozen local governmental agencies, churches, and health and social service organizations, evolved to assess community needs and plan actions to address these identified needs. GAIT served as a network for these organizations to:

- support each other in crisis situations;
- educate one another about their services and clients;
- eliminate duplication of services; and
- collaborate on a variety of projects.

GAIT achieved these goals by holding regularly scheduled monthly meetings with an agenda determined by membership and rotating leadership. Meetings typically featured an information-sharing session, reports of subcommittees and special presentations on identified problems, program plans or innovative solutions. In addition, GAIT periodically sponsored seminars and workshops for service professionals. All of these occasions proved opportunities for members of the network to communicate ideas informally and become aware of dilemmas facing other organizations. As a consequences, cooperation and collaboration became valued.

Although the network was strong and useful among health and social service providers, members perceived that representation from business groups would be critical to giving GAIT a voice beyond local boundaries, especially in a climate of shrinking aid to cities and towns. A business and social services partnership developed in the late 1980s enabling GAIT members to flex their political muscle and make decision on wider policy and legal issues affecting the provision of health and social services. More than twelve years after its inception, GAIT continues to be a vital and dynamic local network, providing members with an opportunity to serve their clients better and giving life to an old adage that there is strength in numbers.

*First published in Slocum *et al.*, *1995, Power, Process and Participation: Tools for Change*, p. 158.

36 Assessing Risks

Because SEGA is an approach that emphasizes empowerment for disadvantaged groups, it may arouse opposition from those who benefit from the status quo and who do not wish to see significant change. This opposition may vary from mild stalling tactics or indifference to outright violence and disruption.

Purpose

The purpose of this exercise is to help members of the community and development facilitators think through various activities to determine the levels of risk involved for community members.

Process

1. Clarify whether the group is involved in a) advocacy (that is, seeking to modify a policy or program to affect them in more beneficial ways) or b) resolving an existing conflict between two parties or groups within the community.

2. Identify the social, economic, cultural and political constraints to meeting objectives.

3. Analyze how these constraints may build upon one another.

4. Prioritize problems and objectives in relation to the issue at hand.

5. Identify:
   - **Supporters.** Who has interests in the same goals? How can you get their cooperation and support?

   - **Resources.** What resources are available within your group or community? What resources exist among your allies?

   - **Opposing viewpoints**
     i) Identify the specific structures, policies, or individuals involved.
     ii) Assess interests, resources, strategies and tactics of opponents
     iii) Assess the goals of your opponents

iv) Think about ways to build consensus, converting a zero-sum situation into a win-win situation for all parties

- **Observers.** What groups and individuals have no stake in the goal you are advocating? Can these neutral parties have a positive effect on your objectives? Can they have a negative effect?

Different Kinds of Risks

- **Capture by elites:** *Is it possible or likely that the initiatives you are undertaking will be undermined or captured by those in the community who have power, position, and authority?*

- **Stymied by the state:** *Is there a risk that the bureaucracy will stand in your way, through obstinacy, bureaucratic subterfuge, or other means?*

- **Opposing economic interests:** *Will those who have "something to lose economically" find ways to undermine your objectives?*

- **Beset by inertia:** *Is the gravest threat one of indifference on the part of the majority of members of the community?*

- **Violence or its Threat:** *Do those who share your objectives and interests fear physical violence and harm from those who oppose it?*

The group needs to think through very carefully what the likely risks may be, what types of actions may reduce risk, and the ways in which an organized and mobilized community can strengthen its options for effective action to improve local opportunities and well being. The group or community may need alternative strategies for reaching its goal. Then it can choose a strategy to implement on the basis of different kinds of risk assessment.

37 Using Geographic Information Systems (GIS)*

In the advent of the computer technological revolution new geographic tools such as Geographic Information Systems (GIS) and remote sensing are becoming increasingly accessible for environmental decision-making. Such tools offer environmental decision-makers and managers the capability of bringing together a variety of data – environmental, economic, and social – into a single spatial management framework. Maps, the basis for geographic tools and analysis, can be used for local-level planning and input into national planning. GIS enables users to examine, analyze, and compare a great amount of information quickly and iteratively.

Purpose

The primary purpose for using GIS is to obtain and maintain an adequate spatial information base from which effective decisions about managing resources and the environment can be made. Information is required at all levels of decision making, from policy planning at the national level to local community development projects. Although GIS is most often associated with mapped data, GIS can also manage spatial data in the form of satellite imagery, point observations such as that from rainfall stations, or tabular data often associated with census records. Furthermore, when employed appropriately, GIS can enable the participation of a variety of users including these in local communities.

As a tool, GIS facilitates:

- rapid data manipulation and comparison;
- rapid updating of environmental databases;
- selective generation of new data through manipulation of known factors and relationships;
- incorporation of remotely sensed data such as satellite imagery for continuous environmental monitoring and landuse mapping; and
- modelling of physical, economic, and social processes for simulation and prediction.

*Adapted from J. Toledano, *Tools in the Field for Environmental Decisionmaking - Incorporating Local Knowledge*, 1995, Ford *et al.*, 1990, *An Introduction to Geographic Information Systems for Resources Management* and J. Auble, 1995, "Leveling the GIS Playing Field."

Process

Using GIS in Community Development Efforts:

- **Generating Information.** The priorities and perspectives of local people can be represented through a process called indigenous mapping. This can be as simple as giving local names to scientific soil classifications or as complex as mapping landuse according to local land tenure systems. Through such processes, residents can assist in the development of environmental databases by sharing their specialized knowledge.

- **Environmental Decision-making.** Geographic tools can bring increased clarity to decision processes and to decision-makers. Given the variety of data that may be collected and managed, environmental management and planning can be a formidable task. Problems are identified, solutions generated, alternatives evaluated, and ultimately decisions are implemented and monitored. At all stages of the decision-making process, accurate information helps inform appropriate policies.

- **Gaining Access to a New Technology.** Geographic tools are becoming increasingly widespread at all levels of government and within NGOs. More and more, access to the technology can be found at colleges and universities, government planning offices and ministries, environmental NGOs, and in-country donor agencies.

Appropriate Use of Geographic Tools

Geographic Information Systems offer new opportunities for community residents to work with planners to gather and organize information. It may be particularly valuable at those junctures where conflict arises over resource use and where a careful examination of all available data and alternative solutions may help to resolve disagreements. Central to deciding if GIS is appropriate is whether or not the problem at hand is a spatial one. GIS is most useful for spatial decision-making. It is also important to evaluate whether automation offers advantages over traditional techniques. Before choosing to use GIS, the objective should be well defined. An organization should consider carefully how GIS fits into its structure and mission.

Notes to the Facilitators

While GIS offers new opportunities for local input, it may also serve to marginalize local voices as the technology and its impressive output of official documents becomes a voice and an authority in its own right - an authority which is controlled by "official" personnel. The technology itself does not automatically enhance planning processes or increase participation. This outcome depends on the way the technology is used. It does not produce "magic" solutions to resource problems. Like any technology, GIS should be looked at critically to assess how it may help or hinder the objective of equitable and sustainable development.

Example

Landuse Planning in Brazil*

An example from Brazil demonstrates how new technologies can assist local planning and sustainable development. In Southwest Brazil, resource rich lands known as extractive reserves are owned by the federal Government but are co-managed with the local residents in order to minimize landuse conflicts. Rather than assuming a top-down management approach whereby government proposals often come in conflict with local land tenure systems, communities are involved early in the planning stages of these important lands.

GIS and remote sensing are used to map landuse in the area. Residents are involved in the development of these maps by identifying family lots on preliminary maps derived from satellite imagery. Residents also help supply vital socio-economic data. Together, digital landuse maps, population, transportation networks and socio-economic information are used to model existing and future land management scenarios. Thus, through indigenous mapping and the use of geographic tools, local communities are able to voice their view of reality and their sense of ecology.

*Foster-Brown, *et al.*, 1995 "Empowering local communities in land management: The Chico Mendes Extractive Reserve, Acre, Brazil," *Cultural Survival Quarterly*, 18(4), 54-57.

38 Using the Media

Journalists - and the newspapers, magazines, radio and television stations for which they work - are key actors in generating awareness and support for political and social change. Local communities, and those who would help empower the disadvantaged within them, can learn how to use the media to their advantage. The media can be powerful allies to grassroots groups and non-governmental organizations in their quest for social, political, and economic justice.

Purpose

The purpose of this strategy is to enable community members and development facilitators to think about the ways in which the media can help energize and give momentum to the processes of empowering disadvantaged groups.

Process

1. Brainstorm on options for media coverage of the issues you are addressing. Letters to the editor, opinion pieces, news articles prepared for national or local newspapers and news magazines may be useful to your cause. Weekly news magazines are often "hungry" for local news of merit. Radio stations may have special programs or segments devoted to local news and community activities. If your issue or problem can be readily linked into a national concern, so much the better.

2. Be prepared when engaging the media. Good information and clear knowledge of a subject inspires confidence and can build support for your objectives. Conversely, the negative impact of a poorly staged media event seen by the public on television or heard on the radio can be difficult to overcome.

3. Build a sustained relationship with those involved in the media. Social change is a long process. Local communities seeking change want fair and accurate reporting of the issues they face and events taking place. Community leaders and representatives of non-governmental organizations need to engage reporters over a sustained period of time, offering them the best available information in order to gain credibility and acceptance.

4. Consider all forms of media: radio, television, newspapers and other options. Media serve a role in education and in changing behavior. Thus, the media can be a valuable ally. In many countries, for example, the radio is an important change agent. Many people listen to radio news, educational, and talk shows at some point during the day. If your efforts are not gaining national attention, scale down and consider local options.

5. Create your own forms of communication. A group increases its power with the creation of its own communication channels in the form of a regular newsletter or issue papers, or perhaps an occasional magazine or bulletin. They then are able to communicate with their own membership regularly and clearly on relevant topics. Such publications encourage a group to clarify objectives, create a statement of principles, and determine what their long-term goals and strategies are.

Notes to the Facilitator

Use of media puts the issues into the public eye, and may arouse political opposition or even hostility. The facilitator should be aware of these possibilities. See also **Assessing Risks** (Tool #36).

Example

Ideas for Using the Media

In Bolivia, virtually all rural households have a radio and "tune in" between 7:00 and 8:00 am. Lots of ideas and information are conveyed to a broad cross-section of citizens at that time.

The Caribbean Policy Development Centre, established in Barbados in 1991 by 19 networks of non-governmental organizations in the Caribbean region, publishes a Bulletin which serves as the main channel of communication with and between member organizations. It also publishes CARICLIPS, compilations of newspaper clippings from around the region on specific topics.

In the Philippines, the Philippine Partnership for the Development of Human Resources in Rural Areas (PhilDHRRA) is a broad partnership of more than 62 NGOs concerned with the social development of depressed rural communities and the empowerment of people's organizations. PhilDHRRA publishes PhilDHRRA Notes, a regular newsletter, as well as numerous reports and manuals related to sustainable development.

39 Community Writing*

Purpose

Most of the tools presented in this manual involve working with communities to gather information, assess needs, and plan projects. While many of the tools are designed to be effective and non-threatening with illiterate populations, literate community members can assist the community by learning to document processes, write proposals, declarations, petitions or other such documents. In this way, the community maintains the skills needed to access and network with external agencies and thereby control its own development.

Process

1. **Show an example.** An example of a completed document serves as a model. If community members are writing a proposal, show them another successful proposal to serve as a reference point. An example helps to familiarize communities with both the format and the standards of presentation demanded by formal documents.

2. **Build on existing mechanisms.** Do not assume that a community has absolutely no idea how to network with external agencies. Find out what is traditionally done to access resources and build on these processes. For example, if a Village Development Council normally petitions a local government office for aid during crisis times, begin with the content of written or verbal petitions to show that writing is merely formalizing a process they are already familiar with.

3. **Write one section at a time.** Break the document down into sections and work on one at a time to avoid confusion.

4. **Let community members write the document.** Usually, a teacher or other member will feel comfortable enough to do the writing. Sometimes this is not possible due to the formal nature of the writing or limited literacy in the community. In this case, an external agent may write down the community's ideas.

*Adapted from an interview with Moses Samson April 25, 1995 regarding working with communities in Botswana to write constitutions and an interview with Milan Shrestha April 25, 1995 regarding community process documentation in Nepal.

5. **Confirm accuracy of ideas.** Regardless of who does the actual writing, it is essential that the written ideas are read back to the community for their approval as people tend to synthesize and interpret information while writing. Community members can signify their acceptance of the document by signing or marking their approval individually.

6. **Expect the process to be time-consuming.** It is important that community writing be a participatory process. As such, it will necessarily take some time to listen to everyone's ideas and develop the document as a group. This will take much longer than if just a few individuals were to write a document.

7. **Advise and organize.** A facilitator's role during a community writing process is to serve as a technical advisor for the document and to help organize ideas. As frustrating as it may be, facilitators must resist urges to speed up the process by initiating ideas or finishing sentences for participants. At the same time, the facilitators must fulfill an advisory role. For example, they should help guide the process so that a community proposal for a water project is technically feasible and attractive to funders. This is a delicate balance of helping to mold the process without controlling the outcome.

Notes to the Facilitator

Community writing, like most participatory processes, can be usurped by a few powerful individuals. This situation can be precipitated by the fact that the men and the wealthiest are often the most literate in a village; they may feel the most comfortable with the writing process, thereby representing an imbalance of interests. This is especially so when the writing involves securing resources or benefits. Facilitators should be aware of this possibility and work to encourage representative participation and equitable allocation of benefits. See the following tools for further insights into working with groups: **Facilitation** (Tool #1); **Consensus-Building** (Tool #3); and **Conflict Management** (Tool #4).

40 Documenting Processes

The SEGA Manual puts forth a different model for thinking about and practicing development. Many of the techniques and tools presented will be new to development agents and agencies. While it is always a good idea to document data and processes, it is particularly important if one is trying a participatory, bottom-up approach like SEGA for the first time.

Purpose

The SEGA Model stresses the need for information to flow from local to national and international spheres rather than always in the reverse direction. In order to convey information effectively, communities and field level personnel will need to take the time to document their knowledge, their successes and challenges. Careful documentation not only helps agents learn from their experiences, but also offers evidence to the effectiveness of such approaches. Such evidence can be clearly presented to agencies and institutions which are often structurally resistant to change, thereby speeding up processes.

Process

1. Establish a system for organizing data. Files or folders often work well. Organized documentation and record-keeping from the first stages of a project will allow facilitators to evaluate processes throughout a project rather than just at the end.

2. Development agents should take care to note their own assessment of the tool or exercise. Some questions to keep in mind follow:
   - *How did the community respond to the tool?*
   - *Did people actively participate?*
   - *Did some contribute more than others? Who? Why?*
   - *Did the tool elicit useful information? What sort?*
   - *What were the drawbacks or limitations to the tool?*
   - *How could the tool or approach be improved?*
   - *Do we need materials?*

Notes to the Facilitator

Writing is not the only way to record processes. **Audiovisual Aids** (Tool #5) outlines ideas for means of documentation other than writing. Videos or photographs can provide compelling evidence of local responses to change which help to prove successes or recognize limitations of a SEGA approach.

Many of the tools presented in this manual include built-in methods of process documentation. For example, **Mobility Maps** (Tool #15), **Problems, Causes and Opportunities Charts** (Tool #30) and **Gender Analysis Matrices** (Tool #20) all result in visual representations of community data and ideas.

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Part IV Measuring SEGA's Effectiveness: Plan, Process, Product and Principles

Measuring SEGA's Effectiveness

The literature on evaluation is vast. This section of the manual does not offer a comprehensive discussion of evaluation techniques. There are numerous sources to which the development professional can turn for such a discussion. A bibliography of entries on evaluation processes is included at the end of this chapter. However, this section considers a few ways of measuring the effectiveness of the SEGA approach to community transformation, including a discussion of some types of evaluation useful for assessing the SEGA approach. It offers some sample techniques for determining its effectiveness. The community and the development professional can expand on these techniques and bring new ones to the process of measuring effectiveness.

Evaluation can serve a number of purposes, seven of which include:

- **Assessing performance.** We want to know whether or not our plans and the program or project undertaken are making an impact in reducing the problem which has been identified. Such an assessment may have both quantitative and qualitative dimensions.

- **Improving decision-making processes.** Evaluation helps in the decision-making process. It is an important source of information for decisions related to shaping and refining the project or program, keeping it on target and permitting adjustments to meet objectives.

- **Allocating resources.** Evaluation helps determine the effectiveness of the strategy and the suitability of implementing a similar program or project in another setting.

- **Developing staff and community competence.** Evaluation gives feedback to those implementing the plans and can be a source of motivation, satisfaction and growth for all involved.[1]

- **Justifying the program.** Existence of an evaluation strategy can demonstrate that an agency is concerned with issues of effectiveness and committed to improving

performance. An evalation may show financial supporters whether or not the program results warrant the investment they have made in the program.[2]

- **Informing policy.** Organizations are not only concerned with program results, but also with evaluating their basic strategies and policies. An evaluation can inform whether the structures and activities undertaken are appropriate for the defined task.

- **Acquiring new knowledge and understanding.** Evaluations can provide a rigorous test of lessons learned and suggest some useful generalizations to other practitioners who value findings resulting from a systematic evaluation process.[3]

Evaluation has qualitative as well as quantitative dimensions. In assessing the SEGA approach, the qualitative processes as well as material indicators must be considered. Given the SEGA objectives, it is important to evaluate the organization of the disadvantaged and underprivileged and the emergence of social awareness and self-reliance. It is also critical to consider institutional development, the capacity to manage collective affairs, to participate collectively in decision-making, and to handle conflicts and tension. Particularly important is the capacity of the group under discussion to act on problems identified. The evaluator should be a facilitator, not a judge, and the process should be one that is participatory for the community.

Addressing all these issues is a large task. To start, this section focuses primarily on the criteria related to SEGA's effectiveness: the extent to which the approach, the resources, the activities and the strategy meet SEGA objectives. Also of particular interest are the side effects - good and bad, anticipated and unanticipated - of this particular mix of objectives, activities and resources.

The purpose of implementing a project or program through the SEGA approach is to change the conditions within a community, particularly those of disadvantaged groups. Measuring its effectiveness requires a) identifying both the baseline and post-project conditions; and b) assuring clear project objectives. Three aspects of measuring effectiveness must be examined:

- **The Process.** *Has the process been participatory? Has it proceeded according to to the planning and decision-making process identified by SEGA?*

- **The Product.** *What are the impacts, both quantitative and qualitative, for individuals and households, and more broadly within the community?*

The Principles. *Does the application of the SEGA approach contribute to the reinforcement of the principles of development which are embodied in SEGA?*

In the following pages, we suggest some specific ways to address these three components of measuring effectiveness. The Project Planning Matrix can serve as an overall guide in this process.

The Project Planning Matrix (Logframe) as Guide for Evaluation

The evaluation of a project is a process of determining whether the objectives of the project are achieved. In practice, there are many levels of objectives and different ways of measuring the degree of achievement. In project formulation, the goals and purpose are first articulated and converted into specific objectives. The specific objectives are further broken into operational objectives.

When a project has been formulated in the manner suggested in the manual, these different levels of objectives can be summarized in the Project Planning Matrix or Logframe. The logframe contains the different levels of objectives (goals, purpose, results, activities) with their corresponding indicators, the means of verifying indicators and the conditions necessary for the achievement of the objectives. A logframe based on the SEGA approach is found on p. 258, table 4.1 .

A Logframe developed by the community can be a good guide for evaluation. After the community has been should be oriented with the SEGA approach, it can create a project planning matrix which is similar to the example in Table 4.1.

The project planning matrix serves as a guide for determining before and after conditions vis-a-vis the project. Tools such as those presented in Part II, are used in the beginning in order to gather baseline information for planning. The facilitators can ask the community to establish objectives for a two or three-year period, and the residents can test changes against the baseline data and the objectives they have set.

Table 4.1. A LOGFRAME Matrix for Community Planning According to the SEGA Approach

Summary	Indicators	Ways to Verify Indicators	Assumptions
Goal Socio-economic and Gender Equity	Land Ownership; Resource access; Income Distribution; Education; Quality of Life (Health); Livelihood security	Stakeholder analysis; Resource access profile; Wealth ranking; Gender analysis; Surveys; Focus groups	Governance; Stability; Funding; Not hostile to change; Entry point or contact person
Purpose Empowerment Participation	Organizing; Negotiation; Leadership formation; Links with other Groups	Story with a GAP; Focus groups; Role play; Forcefield analysis; Venn diagram; GANTT chart	Trained development agents; Support is available
Results 1. Equal access and control of resources	Land tenure; Technological; Capital investments	Access and control profile; Planning tools; Titles/Deeds	Empowerment can neutralize blocking action of powerful groups
2. Environmental preservation	Biodiversity; Reforestation; Soil/water quality; Productivity; Recycling	Resource Mapping; Trendlines; Spatial data; Physical tests	No major castastrophes
3. Respect for local knowledge	Participation in planning, implementation and monitoring; Local ownership of project	Participant observation; Indigenous tools; Indigenous artistic expressions	Communication between people and external agent
4. External/local partnership	Coalitions; Policy change; Networks; Media	Venn diagrams; Project proposals; Risk assessment; Media clippings; Process Documentation	Availabilityof external agents and resources; Local counterpart
Activities 1. Local Interventions • Awareness raising • Organizing • Trainings • Resource mobilization • Project Implementation • Negotiations • Participation in local social institutions 2. Macro-Level Interventions • Policy Change • New Development Paradigm • Funding allocation • Coalitions 3. Linking External/Local • Policy makers • Academics • Alliances • Participation in social inststitutions	Organize meetings Organize trainings Raise funds Engage in specific projects	Budget Timeframe (GANTT)	Community interest, leadership and resources are available

Monitoring the SEGA Process

The SEGA approach to development prioritizes those who are disadvantaged and employs participatory methodologies. It is important to monitor whether these steps are actually taken and to consider their implications for project success. A good tool for evaluating whether the process has been followed is shown in Table 4.2.

Table 4.2. A Tool to Monitor the SEGA Process

Steps	Date		Participants					Achievements (check when applicable)
	started	finished	religion class ethnicity	men	women	youth	total	
1. What secondary sources of information were identified to give background of project site?								• Socio-economic, political, cultural description of households • Social institutions operating in the area • Environmental and economic resource base • Macro-policies affecting the area • Contextual analysis • Prioritization of project sites
2. How was the community integrated?								• Courtesy call to leaders • Participation in cultural events • Acceptance by the community • Priority groups identified • Contact persons identified
3. How were less advantaged groups included as priority partners?								• Discussion with different stakeholders • Negotiation to allow prioritization of less-advantaged groups • Start linking less-advantaged groups to supportive institutions • Start consciousness-raising
4. What participatory methods were used for gathering information?								• Facilitation • Leadership • Consensus Building • Conflict Management • AV Materials • Tools Used

Steps	Date		Participants					Achievements (check when applicable)
	started	finished	religion class ethnicity	men	women	Youth	Total	
5. How were community members involved in planning analysis?								• Problem Case Analysis • Role Play • Identifying Problems • Problem Tree • Objective Tree • Logframe • CAP • GANTT chart • Consultation meeting to present plan
6. What steps were taken to mobilize resources?								• Local resources tapped • External support • Funding request/proposal generated • Follow-ups • Presentation/solicitation • Fund-raising activities
7. What sustainable methods were employed?								• Sustainable agriculture • People empowerment • Access and control of resources • Participation in social institutions • Cooperatives
8. How were field knowledge and experiences linked with macro interventions?								• Documentation • Sharing of experiences • Case study writing • Use of media for dissemination • Attendance of conferences • Field trips/exposures • Policy change in organization in light of community experience
9. What steps were taken to involve disadvantaged groups in macro-processes?								• Delegation of members to gatherings • Involvement/participation in social institutions • Participation in national/international conferences • Link with policy makers • Link with academics • Link with other organizations, conditions
10. How was the impact of the project evaluated?								• Monitoring of plans and activities • Regular meeting to review project • Participatory evaluation • Others

Using Scales

A scale rank orders people (or other units of analysis) in terms of specific variables. Scales reveal differences in intensity and provide a technique for presenting data in a summary form while maintaining clarity among the variables being analyzed. The scales shown below are adapted from the Likert scaling format.[4]

A person's score on a scale gives an indication of his or her relative position vis-a-vis other people. In the case of Table 4.4 below, the involvement of less advantaged groups as priority partners is ranked on a scale of 1 to 5 with 1 representing poor performance and 5 high performance. Respondents in a sample survey can be asked to rank the "prioritization of less advantaged groups" and the responses can be tallied and calculated for a composite ranking of views in regard to this variable. This procedure can be helpful as a monitoring device when community members and development workers want to assess progress - and perceptions of progress - toward specific goals.

Using the tool for monitoring the SEGA Process (Table 4.2), the community can develop scales for all ten items to determine a profile of SEGA processes. Below are given five sample scales for the following items from Table 4.2.

- time needed for implementation
- prioritization of disadvantaged groups
- involvement of men and women
- involvement of youth
- the overall success in achieving the goals of SEGA.

Table 4.3 demonstrates a scale showing time needed for gathering secondary information in relation to a particular community's development efforts using the SEGA approach.

Table 4.3. Scale to Establish a Time Profile

Scale	Very little time needed	(in months) 1	2	3	4	5	Very long time needed
Identification of secondary information	Very little time needed	(in months) 1	2	3	4	5	Very long time needed

On a scale of 1 to 5, respondents can gauge prioritization as partners of those coming from less advantaged groups (Table 4.4).

Table 4.4. Scale to Establish a Prioritization Profile

Scale	higher status, caste, class, ethnicity or religion	1	2	3	4	5	lower status, caste, class, ethnicity or religion
Inclusion of less advantaged groups as priority partners	higher status, caste, class, ethnicity or religion	1	2	3	4	5	lower status, caste, class, ethnicity or religion

A gender profile can be developed by scoring the balance of gender participation. The ideal condition is obtained when men and women participate equally. The limitation of this measurement is that the judgement will be based on the number of participants but not on the quality of participation.

Table 4.5. Gender Participation Profile

Scale	men or women only	1	2	3	4	5	equal participation of men and women
Involvement of community members in analysis and planning	men or women only	1	2	3	4	5	equal participation of men and women

Youth constitute an important sector in society, but are often left out of the development process. Their participation in the SEGA approach can be indicated by developing scales indicating degree of involvement in decision-making.

Table 4.6. Profile Indicating the Involvement of Youth

Scale	following orders	1	2	3	4	5	involved in decision-making
Evaluation of the impact of the project	following orders	1	2	3	4	5	involved in decision-making

Table 4.7 demonstrates an attempt to assess how each step has contributed towards the goal of SEGA. It can be scored by determining how many check marks are registered in the column entitled Achievements in the Monitoring Tool for the SEGA Process. Those steps with the most check marks receive a high score (4 or 5); those with few receive a low score of 1 or 2.

The scores for each step may be averaged for an overall rating. However, the meaning of the score depends on accuracy of the data as recorded in the Monitoring Tool and objectivity of the evaluators. It could be a valuable exercise to allow men, women and youth and/or different socio-economic groupings to evaluate the SEGA process.

Table 4.7. Contribution of the Various Steps to the SEGA Process

Scale	not achieved	1	2	3	4	5	achieved to a great extent
Mobilization of Resources	not achieved	1	2	3	4	5	achieved to a great extent

While the monitoring tools suggested in the previous section may be useful for the development worker, they may be less helpful to the community itself. What will be useful to community members will be a GANTT Chart of activities which they themselves have drawn. The GANTT Chart helps in monitoring the activities or the processes that the community undertakes in order to improve its conditions. (See Tool #34) When displayed in a public setting, the GANTT Chart prompts community members to monitor activities carried out against a calendar. An external evaluator of a SEGA process may review the GANTT Chart to see how invested people are in the success of their project.

Evaluating the Product

SEGA is concerned about two kinds of products. First are the quantitative measurements of outputs, such as number of workshops, number of participants, or financial return on group activities. Because budgetary allocation for project activities in most cases are computed in terms of anticipated returns, it is important that these figures are properly maintained. The activity/input portion of the Logframe clarifies these expected outputs.

While quantitative measurements give confidence that the objective has been achieved, it is still necessary to gain a qualitative measure of how well these activities were undertaken. Another kind of product that is useful in evaluating the effectiveness of the SEGA process is the change or impact that has occurred through project interventions. Here the different participatory tools can be used to visualize the changes that the community wants. We clarify these two "products" below.

- **Evaluation of the Organizing Capacities of the Priority Group**
  While it is assumed that the development worker has the skills to organize and mobilize people, these skills need to become part of the community. Members of priority groups should acquire them so that they themselves can drive their own development process. The following table shows the ways in which scales can be used to evaluate skill acquisition on the part of a priority group. The low number (1) indicates little progress; the high number (5) indicates strong achievement in meeting the objective of skill acquisition. We illustrate with five examples of specific skills in Table 4.8.

  The design of Table 4.8 may be adapted for use in evaluating other kinds of skills as appropriate to the particular situation. It may also be used to generate data about pre-project skills which can then be compared with post-project evaluations.

Table 4.8. Assessing the Organizing Capacities of the Priority Group

Scale	not achieved	1	2	3	4	5	achieved to a great extent
1. Facilitator							
a. Focuses the group on task and process	not well	1	2	3	4	5	very well
b. Listens more than talks	talks most of the time	1	2	3	4	5	listens most of the time
c. Remains neutral	fights for own opinions	1	2	3	4	5	considers all sides
d. Encourages all to participate	monologues	1	2	3	4	5	everyone participates
e. Is alert to sensitive issues	ignores sensitive issues	1	2	3	4	5	alert to sensitive issues
2. Leadership Style							
a. Goal setting	leader sets goals	1	2	3	4	5	group members set goals
b. Activities setting	leader outlines activities	1	2	3	4	5	group members outline activities
c. Scheduling	little time for discussion	1	2	3	4	5	fosters group work/ time flexibility
d. Decision-making	leader makes decision	1	2	3	4	5	promotes consensus building
3. Consensus-Building							
a. Agenda setting	agenda is unclear	1	2	3	4	5	agenda is set with sufficient information
b. Discussion of agenda	no clear direction	1	2	3	4	5	group members listen & respond

Scale	not achieved	1	2	3	4	5	achieved to a great extent
c. Role of the Facilitator	free-wheeling discussion	1	2	3	4	5	discussion is kept on track
d. Handling of disagreement	members disagree on consensus	1	2	3	4	5	continuation of discussion to consensus
e. Expediting the consensus-building process	pressure for concession	1	2	3	4	5	decision is deferred until consensus
4. Conflict Management							
a. Attitude regarding conflict	leads to breakdown	1	2	3	4	5	acceptance
b. Blame of conflict	one side is blamed	1	2	3	4	5	shared blame
c. Brainstorming solutions	one person resolves conflict	1	2	3	4	5	everyone shares
d. Decision made	conflict left unresolved	1	2	3	4	5	conflict resolved
e. Mediation	no mediation	1	2	3	4	5	third party resolution
d. Decision-making	leader makes decision	1	2	3	4	5	promotes consensus building
5. Focus Group Discussions							
a. Logistics	not known to participants	1	2	3	4	5	established ahead of time
b. Inclusion of participants	monopolization by one	1	2	3	4	5	encouraged group discussion
c. Length of time	too short or long	1	2	3	4	5	just right
d. Structure of discussion	off the topic	1	2	3	4	5	on track
e. Ending the Session	no conclusion	1	2	3	4	5	summary of decisions

- **Evaluating Tangible Benefit/Objectives**
  In the SEGA process, Tools applied before the project can be used to show baseline conditions. By adding an analytical process where the participants are asked to identify objectives related to the project, baseline information and targets can be juxtaposed. A rating can be established during the project implementation so that the community can determine progress. This technique has been explored in a number of villages in Madagascar, including Ambodirafia, in a system of monitoring and evaluation using the PRA tools in a Community Log Book.

  "A logbook incorporates the elements of the baseline data collected through village data gathering exercises. The use of PRA data-charts, tables, maps, graphs, as baseline for villages to update at regular intervals is a new idea. The concept of community groups comparing trends, transects, sketch maps, institutional relationships and livelihood systems at regular intervals over an extended period of time offers opportunity for self-assessment. It also creates an atmosphere in which community groups can reassess what they are doing and why".[5]

  In order to apply the logbook concept of monitoring and evaluation, the community makes two points of comparison for baseline data to target. For example:

Table 4.9. Baseline and Target Gender - Disaggregated Activities Calendars

Baseline

Activities		J	F	M	A	M	J	J	A	S	O	N	D
Stress Periods		J	F	M	A	M	J	J	A	S	O	N	D
Many expenses						—	—	—	—				— —
Food/Money Shortages		—	—	—				—	—	—	—	—	— —
Major Livelihoods		J	F	M	A	M	J	J	A	S	O	N	D
Tiger grass	M F			—	—	—	—	—	—	—			— —
Copra	M	-	-	-	-	-	-	-	-	-	-	-	- -
Fishing	M m	-	-	-	—	—	—	—	—	—	-	-	- -
Selling Fish	F	-	-	-	-	-	-	-	-	-	-	-	- -
Household Tasks		J	F	M	A	M	J	J	A	S	O	N	D
Cooking	F	—	—	—	—	—	—	—	—	—	—	—	— —
Cleaning	F f	—	—	—	—	—	—	—	—	—	—	—	— —
Caring for children	F f	—	—	—	—	—	—	—	—	—	—	—	— —
Washing clothes	F f	—	—	—	—	—	—	—	—	—	—	—	— —
Collecting fuelwood	F M	—	—	—	—	—	—	—	—	—	—	—	— —
Fetching water	F M f m	—	—	—	—	—	—	—	—	—	—	—	— —
Caring for animals	F	—	—	—	—	—	—	—	—	—	—	—	— —

M = Adult Male
m = Male Child
F = Adult Female
f = Female Child
- - - Sporadic Activity
— — Continuous Activity

Interventions taken

- Gender Awareness Seminar
- Leadership for Women
- Credit Program for Women
- Housekeeping Seminar for Men

Target

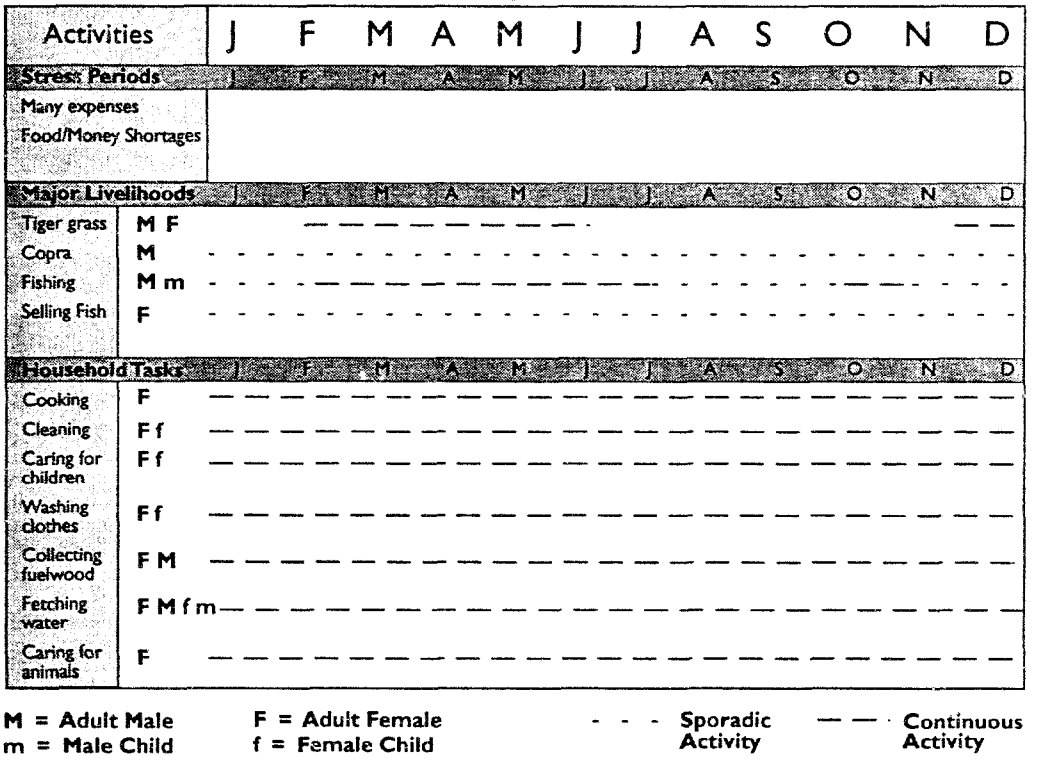

Table 4.10 refers to the gender-disaggregated activities calendars (Table 4.9) and shows in tabular form four situations before project interventions, baselines and targets established by the community. The scales reveal how effectively community members think they have addressed the specific conditions.

Table 4.10. Scale to Monitor Target Data

Situation	Baseline						Target
1. Stress periods	4 months	1	2	3	4	5	Stress period reduced to nil
2. Food shortage	8 months	1	2	3	4	5	Food shortage period reduced to nil
3. Household tasks	carried out by women& girls	1	2	3	4	5	Household tasks equally shared by all family members
4. Community discussion	men only	1	2	3	4	5	All community members involved in community discussion

- **Evaluating the Plans Formulated by the Community**
  One of the products of the SEGA process may be a plan that is developed by the community. There are tools suggested in Part II of the Manual which would be useful for assessing plans.The community may also have its own tools. Plans can be evaluated according to the following suggested parameters:

Table 4.11. Evaluating Community Plans

Scale	not achieved	1	2	3	4	5	achieved to a great extent
1. Contextual analysis	no contextual analysis	1	2	3	4	5	thorough contextual analysis
2. Problems analysis	no problem analysis	1	2	3	4	5	profound problems analysis
3. Objectives of the project	unclear objectives	1	2	3	4	5	clear specific objectives
4. Logic of the project	no measurable indicators, no activities	1	2	3	4	5	set of indicators and activities
5. Approaches and strategies	none or ineffective strategies	1	2	3	4	5	participatory and sustainable strategies
6. Timeframe	no timeframe	1	2	3	4	5	reasonable timeframe
7. Budget	no community counterpart	1	2	3	4	5	community counterpart
8. Community Action Plan	no priority group participation	1	2	3	4	5	maximum priority group participation
9. Management	managed by external agents	1	2	3	4	5	managed by community
10. Project justification	does not contribute to equitable, sustainable development	1	2	3	4	5	contributes significantly to equitable, sustainable development

- **Effectiveness of SEGA as a Development Approach**
  A SEGA project should be evaluated in terms of how it contributes directly towards meeting the needs of the community, especially disadvantaged groups. Evaluation must also consider how it contributes towards equity and a more sustainable environment. Sample variables and indicators are given in 4.12 to indicate how effectively a project addresses community needs.

Table 4.12. SEGA Effectiveness in Addressing Community Needs

Situation	not achieved	1	2	3	4	5	achieved to a great extent
1. Health Conditions	worse	1	2	3	4	5	better
	few have good health	1	2	3	4	5	100% of population has good health
	individual program	1	2	3	4	5	community health program
	destructive to environment	1	2	3	4	5	rehabilitate/protect environment
2. Increase Income	decrease	1	2	3	4	5	increase
	enjoyed by only one person	1	2	3	4	5	enjoyed by100% of population
	achieved by only one person	1	2	3	4	5	achieved by 100% of population
	destructive to environment	1	2	3	4	5	rehabilitate/protect environment
3. New Skills/Knowledge	less	1	2	3	4	5	more
	only a few	1	2	3	4	5	shared by 100% of population
	brought in from outside	1	2	3	4	5	generated by local people
	destructive to environment	1	2	3	4	5	rehabilitate/protect environment

Assessing the Development Principles Embodied in the SEGA Approach

SEGA can be tested as an analytical tool and as a guide for designing interventions. Community members and change agents can ascertain whether recommendations based on the approach produce conditions that move communities toward equitable and sustainable development and whether they are helping to bring about social transformation.

- **SEGA as an Analytical Tool**
  The SEGA approach provides an analysis of power relationships. It directs interventions toward disadvantaged groups, and asserts that the inequities in society must be redressed through the cooperation of diverse stakeholders. Community members and development professionals can begin to determine the impact of SEGA's assumptions by asking community members questions which would clarify the following issues:

  - *How are the households/individuals classified by community members? Is stratification by virtue of gender, ethnicity, class, evident in their criteria?*
  - *Do local people readily identify which people are more powerful within a specific social group?*
  - *Do community members invoke social, political, economic, cultural, educational, or religious reasons for their status in the hierarchy?*
  - *Do local people associate power with access and control of resources?*
  - *Do community members recognize that powerful people are able to perpetuate their control of resources because they also control the decision-making processes in the community?*
  - *Does the disadvantaged group have capabilities (knowledge, skills, etc.) which are trivialized by the decision - makers?*

- *Do local people recommend any of the following interventions to improve their situations?*

    - empowering disadvantaged groups
    - participation in social institutions
    - linking with local and external resources
    - advocating for external commitments to sustainable development

- *Do community members think that they have something to contribute towards security, productivity and sustainability?*

- *Are local people able to relate their past experiences and ways of viewing problems to the SEGA model?*

The discussions related to the above questions should indicate whether the assumptions and analysis of the SEGA approach are indeed operating at the community level.

- **SEGA as a Guide for Project Design**
  SEGA suggests that effective project design requires a strong contextual analysis that examines the factors affecting the household, social institutions, and the resource base. If such a contextual analysis has been undertaken by the community, both members and outsiders can readily determine whether interventions emerge from the SEGA analytical framework. Community discussions should also provide opportunity to assess whether the assumptions of the SEGA approach are relevant and preferred by the community.

- **Interpreting and Reinterpreting the SEGA Approach**
  The purpose of building a specific approach to development is to serve as a lens for interpreting and analyzing reality. The SEGA approach to equitable development is satisfactory only if it helps the community to understand development dynamics and strengthens its options for community change. Any model should be subjected to reality checks constantly. It should be modified, refined, or abandoned if it fails to reflect conditions accurately. Field observations can serve to confirm, reorient or reject the model, as well as improve its organizing, synthesizing and predictive value. The SEGA approach will thus be strengthened by the experience of users in many and varied localities.

Endnotes

[1] For a discussion of the purposes of evaluation, see Dorothy P. Craig, 1978, *Hip Pocket Guide to Planning and Evaluation*, pp. 82-99.

[2] D.S. Pietro (editor), 1983, *Evaluation Sourcebook for Private and Voluntary Agencies*, p. 16.

[3] Pietro, 1983, *Evaluation Sourcebook*, p. 16. See Pietro, pp. 12-17, for a discussion of the ways evaluation can be used.

[4] Babbie, 1983, *The Practice of Social Research*, p. 380.

[5] Taken from "PRA for Monitoring and Evaluation," prepared for the Natural Resources Management Workshop on Application of Participatory Rural Appraisal, Gaborone, Botswana, 22-26 May 1994.

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Index

Comments and Suggestions for Revision of the SEGA Manual

The SEGA Manual will be the basis for training materials to be developed by FAO. It would be helpful for those working on these materials to have the benefit of your insights and comments regarding the manual. For your convenience, we are noting a few questions below. Also, we welcome your general comments and observations on the manual.

1. In what ways have you used this manual?

2. How has the SEGA approach been useful to you?

3. Which tools have you used and in what context?

4. Which tools have been most useful, and why?

5. Which tools would you omit or modify, and why?

6. Have the scenarios suggested ideas or approaches you have been able to adapt to your work?

7. Are there topics you would like to have covered in any additional scenarios which might be developed?

8. In what ways has the section on measuring effectiveness been useful to you?

9. How would you modify this manual to make it more useful to you?

General comments/Summary Observations

Please send these comments to:

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Part III Opportunity Scenarios

Opportunity Scenarios

Part III details 10 short case studies as a means of illustrating how the SEGA approach and its participatory tools can be applied in a variety of contexts. The case studies cover a wide range of issues in countries around the world as outlined in the index below. Each scenario includes a section discussing the use of the SEGA model as it applies to that particular situation as well as an indication of which tools are most useful for each case. The intent is to provide field personnel with examples of appropriate use of model components and tools in different situations.

Promoting Women's Reproductive Health in Nepal*

Problem

Maternal mortality, deaths directly related to childbirth, is the leading cause of death among women of reproductive age in Nepal. Women's lack of access to pre- and postnatal care, poor nutritional status and early childbearing are among the main causes of maternal mortality.

Background

In the prevailing Nepali tradition, women are valued for their fertility and for their capacity to produce sons. Childhood marriage, lack of mobility, the pressure to bear many children to assure a living son, and lack of control over their own fertility, nutrition and general well-being exacerbate the risk of health problems for women of childbearing age in Nepal.

Women in Palhi, a village in Nawalparasi district of southern Nepal, bear an average of seven children and, as a consequence, spend a great part of their reproductive lives managing stress associated with pregnancy and lactation. The population of Palhi consists mostly of low-caste Harijans and a few landowners of the Yadav caste. Both Harijan men and women are impoverished, but women have much less freedom and access to and control over resources than do men.

Palhi has one health post (serving six villages with a combined population of over 25,000) and three traditional midwives. Existing maternal health services fail to effectively reach most of the female population. In addition, women are not encouraged to seek prenatal care due to cultural modesty. Almost all births take place at home with the help of neighbors or female family members. A large number of maternal deaths are associated with infection after delivery which generally occurs as a result of unhygienic conditions and delivery practices. Harijan men make the final decisions about seeking health services if someone in the family is ill. Often, people call too late for assistance in case of problems.

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*Source: Neera Shrestha, Kerry Mcguirl and Susan Salerno, "Maternal Health in Palhi, Nepal" a project proposal prepared at Clark University, unpublished document, November 1994 and an interview with Milan Shrestha on April 12, 1995.

The majority of women of childbearing age, particularly pregnant and breast-feeding women, suffer from anemia and Vitamin A deficiency. Pregnant women are not acknowledged to have special nutritional needs in pregnancy. Men decide on the menu by voicing food preferences, thus having a direct impact on the nutritional status of the entire family. In addition, the bigger the family, the more stratified is the eating hierarchy among older children and adults. Men and older male children have priority in food consumption, both in volume and content, leaving the leftovers for women.

The practice of family planning is rare. Currently, all family planning programs and devices are targeted towards women. Yet, women do not have the autonomy to access these services, nor do they have the economic resources to ensure treatment. Moreover, men, who play a decisive role in whether family planning methods are to be adopted in a family, are typically not targeted in family planning programs.

Actions

In February, 1993 the Nepalese government established the Safe Motherhood Task Force funded by UNICEF, WHO and UNESCO. The group, comprised of representatives from UNICEF, UNIFEM, the Family Planning Association of Nepal, the Public Health Division, and Nepalese NGOs such as the Institute for Integrated Development Studies, was organized to develop a National Safe Motherhood Plan of Action and to identify activities for promoting safe motherhood for the period 1994-1997. Plan objectives included:

- increasing the accessibility, availability and utilization of maternal health care facilities
- raising public awareness about the importance of women's health care
- improving the legal and socio-economic status of women.

Applying Tools

The intention of this national initiative is to create maternal health projects throughout Nepal to be implemented by village health workers affiliated with local government health posts. Since a model for improving maternal health through participatory planning, implementation and evaluation of projects has not yet been developed in Palhi, we will, for the purpose of this discussion, examine what tools might be most helpful in using local knowledge, resources and solutions as the springboard to social change.

Data pertaining to health-related activities are scarce in Palhi, especially data on village maternal mortality and morbidity. The following tools can be useful in building a data baseline:

- **Interviews** (Tool #6) and **Focus Groups** (Tool #7) can be used to obtain baseline information on the incidence of maternal health problems among Palhi women of childbearing age. It can also raise women's awareness of relevant issues.

- The **GANTT Chart** (Tool #34) is helpful is scheduling baseline data gathering.

- **Priority Group Analysis** (Tool #11) can help to obtain gender, class and caste disaggregated perceptions and analysis of maternal health and reproductive rights issues, causalities, linkages and possible solutions.

- **Forcefield Analysis** (Tool #32) can assess already existing resources and analyze constraints concerning maternal health and reproductive rights within the village.

- A **Logframe** or **Project Planning Matrix** (Tool #33) can be useful in planning and developing alternative interventions based on the data and observations obtained from baseline analysis.

- On-going **Documentation** (Tool #40) of pregnant or lactating mothers and their infants will add continually to the data and will feed information back into the national planning process.

Using the SEGA Model

Nepali government funding for local initiatives such as increasing pre- and postnatal care, training traditional birth attendants, and dispersing maternal health staff may improve women's health status. In addition, the enactment and enforcement of certain government policies and regulations may promote women's decision-making in areas of family planning, nutrition, health and the economy. For example, changing national strategies to benefit women's health may:

- guide possible interventions by supporting **local participatory** data gathering, planning and monitoring of maternal health initiatives;

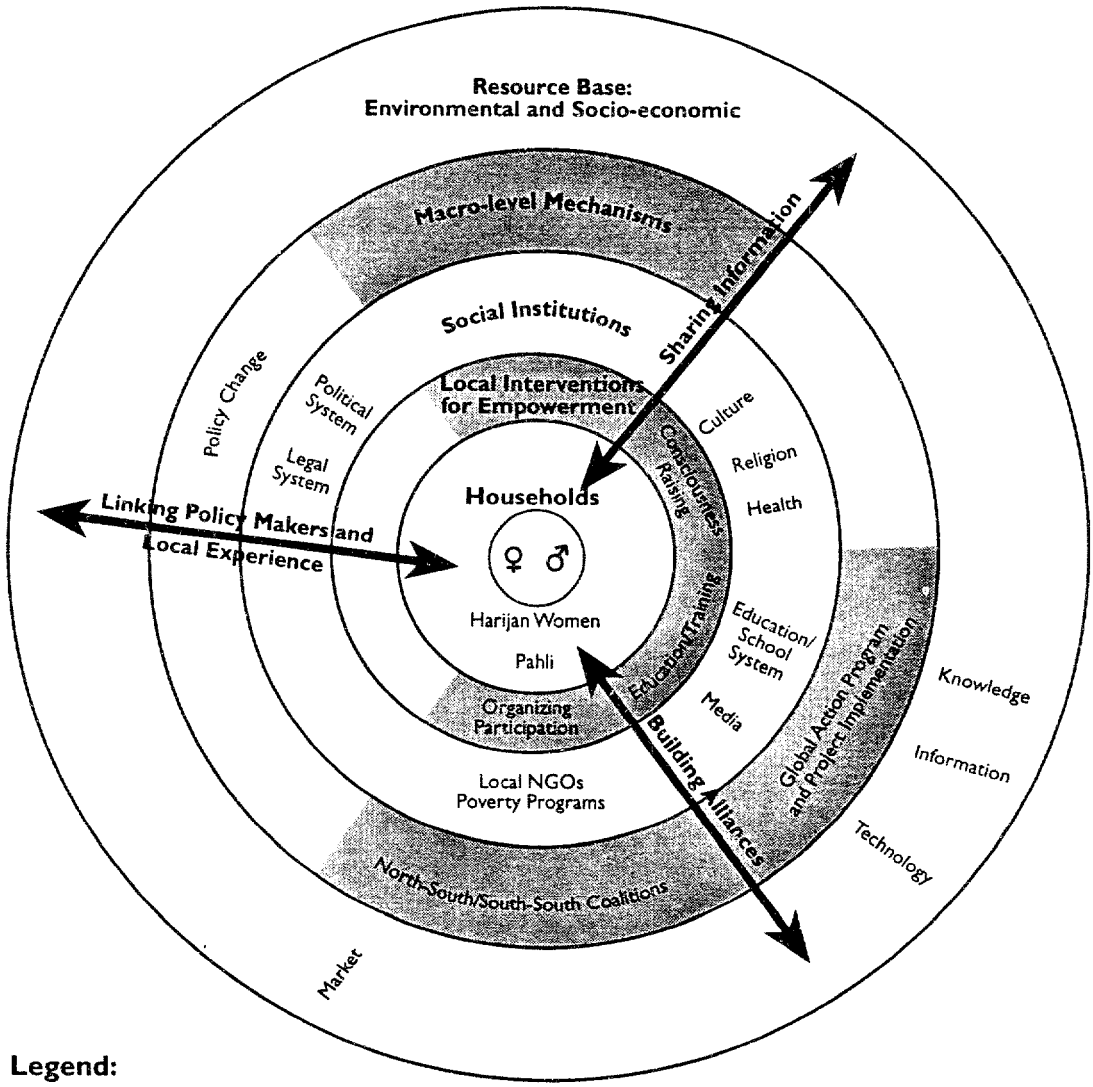
- foster female literacy by mandating primary school education for girls;

- discourage childhood marriages by enforcing the legal age of marriage; and

- raise consciousness about maternal health by promoting workshops for men and women on safe motherhood, reproductive rights and responsibilities.

Top-down programs alone, however, will not enhance the well-being of poor Harijan women in Pahli. An alliance of local, nongovernmental and governmental

Figure 3.1. Applying the SEGA Model to Harijan Women in Pahli



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Structures/Conditions
Processes/Interventions

organizations will help effect interventions and policy changes to break the cycle of women's disempowerment, ill health and mortality.

Looking at the SEGA model, we consider Harijan women priority partners in maternal health projects. By placing poor and marginalized women in the center of the model, we clarify the complexity and composition of Harijan households, giving special attention to gender inequities. The model helps to identify hierarchies of power and enables the facilitator to explore opportunities to give priority to Harijan women.

In addition, applying the SEGA model provides analytical support for building partnerships among target groups and institutions. Identifying the local means, will and strategies (through local NGOs and poverty-related programs) to plan and implement projects in concert with the support of outside political, legal, religious, education and other social institutions can empower women to create institutional linkages and build coalitions for the effective delivery of services.

Fostering Women's Livelihoods in Kenya*

Problem

Poor, illiterate Kenyan women have little or no access to nor control over resources and services essential to their livelihoods and well-being.

Background

Since 1979 the women from Mkwiro, an island on the south coast of Mombasa, Kenya have been known throughout Kenya for their traditional woven handicrafts. With the help of Tototo Home Industries, an NGO based in Mombasa, Mkwiro women expanded their business by marketing a variety of woven articles that appealed to tourists.

As their income increased, Mkwiro women began to think about addressing their biggest problems: access to water and health services. The nearest water source and clinic available to the women were located across a bay. Anyone needing to attend the clinic or obtain fresh water hired a boat to make the trip. The women considered owning their own boat so they could haul water and transport women and children to the clinic. Village elders opposed the idea, invoking the Muslim precept of *purdah*, the seclusion of women. The women, however, felt that they could adhere to religious regulations **and** run a boat – by hiring a driver.

Actions

In 1987 Tototo, on behalf of the Mkwiro women, submitted a proposal for the purchase of a boat to a Kenyan governmental agency. The proposal was accepted and the women launched a successful enterprise. Five years later Canada International Development Agency (CIDA) in Nairobi became interested in helping the Mkwiro women expand their enterprise by giving them a boat through Tototo, the liaison NGO. Tototo conducted several meetings to assess the needs and possibilities for business growth. The women identified an opportunity in transporting tourists to a new marine park in the area. Unlike a utilitarian boat for carrying water, a tourist

* Adapted from an interview with Elvina Mutua, founder of Tototo Home Industries, on November 8, 1994.

boat would have to be sizable and elaborate with a powerful engine. The women negotiated with the marine park for a license to ferry tourists, obtained insurance, secured a loan to purchase an engine, and contracted a driver to bring the boat back from Tanzania (where it had been manufactured). Thus, they embarked on their second boat business.

Applying Tools

Tototo was instrumental in helping the Mkwiro women come together as a group. Its initial involvement with the women revolved around marketing strategies for handicrafts. In time, as the needs of the women's handicraft enterprise grew, Tototo's focus shifted to **leadership development** and promotion of business trainings. When the women seized the opportunity to go into another venture, they used their collective power and knowledge to their advantage as they negotiated with village elders and, later, with marine park officials.

Tototo led the group of women in a participatory process to assess the needs and possibilities for business expansion. The NGO used several tools helpful in identifying potential projects. Among them were:

- **SWOT**, (Tool #31) the analysis of the strengths, weaknesses, opportunities and threats. Understanding the external environment relevant to starting a new venture can increase profits and reduce losses .

- **Problem Case Analysis** (Tool #21). Discussions centering on hypothetical cases can help participants identify income generating projects and determine priority projects.

In spite of their improved organizational skills and economic empowerment, the Mkwiro women continued to be dependent on Tototo. This dependence related in large measure to the women's illiteracy. Except for two record keepers, most of the women were illiterate. As a consequence, they relied on Tototo for proposal writing, contract reading and negotiation.

- Conducting **Practical Needs and Strategic Interests** activity (Tool # 23) might have helped the women address the illiteracy problem.

- **Ranking Problems and Opportunities** (Tool # 25) would have been useful in defining problems other than economic ones.

Using the SEGA Model

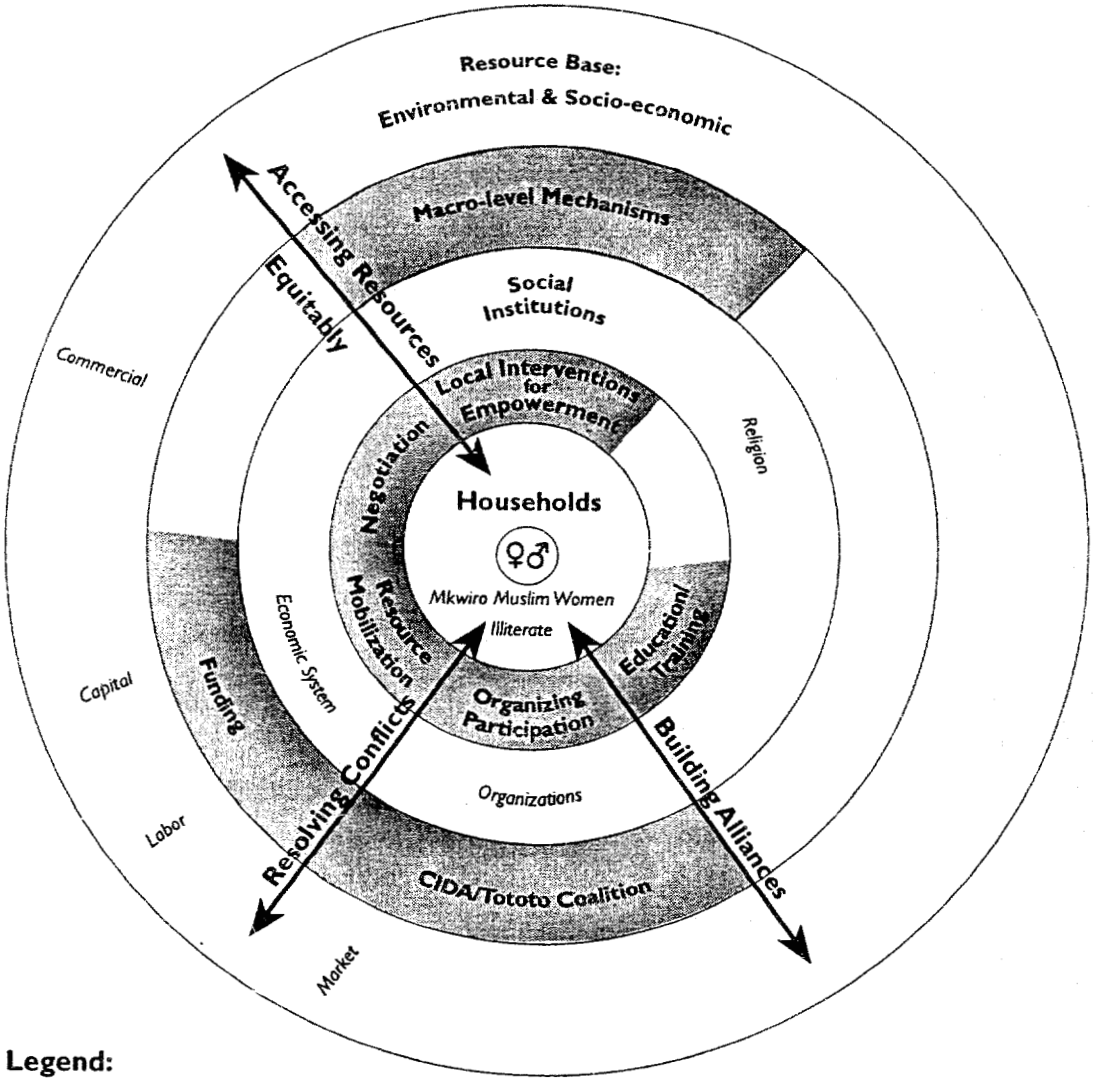
Even though poor, illiterate, Muslim women faced resistance among existing social institutions, Tototo enabled the women to build alliances with other organizations and access funding from government agencies and international NGOs. The experience of the women and the boat demonstrates how the disadvantaged in a community (at the center of the model) can be empowered by local interventions (inner dark band) to influence social institutions and access resources. The facilitation provided by Tototo helped the women to organize themselves and mobilize and utilize available resources.

However, despite their increase in economic confidence, the Mkwiro women were unable to gain more social space in the household and transform social institutions. Women continued to depend on their husbands and male local elite for approval and decision-making. In addition, the majority of the women were illiterate. Encouraging the women to become literate and, in time, to submit their own proposals would enable them to link directly with outside funding sources and might embolden them to question existing political, cultural and religious restraints.

In summary, lack of access to and control of resources is produced and reproduced by processes that are embedded in political, cultural, religious, economic, educational and legal institutions. Those who hold power have a stake in preserving the status quo which limits disadvantaged groups' ability to secure livelihoods. Having no political, social or economic clout, the poor are at a disadvantage in negotiating with those in power. Outside forces working within the community can facilitate the mobilization of the poor in articulating and working toward redressing resource inequities. Yet, economic empowerment alone does not result in the transformation of socio-cultural impediments. In this scenario, the Mkwiro women did not become active partners in the processes resulting in policy changes affecting their lives.

Economic empowerment alone does not result in the transformation of socio-cultural impediments.

Figure 3.2. Applying The SEGA Model to Muslim Women in Mkwiro



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Accessing Credit and Creating Savings in Sri Lanka*

Problem

Seventy-eight percent of Sri Lanka's 17.2 million people live in rural areas, and the majority are poor with less than .6 hectares of land per household from which to earn a living. Their situation has been aggravated by a civil war between the dominant Singhalese and the minority Tamils since the early 1980s and the resulting decrease of foreign investment and tourism, as well as the dislocation of a segment of the population. Many low income households have urgent requirements for funds not only to meet short term needs but also for investing in livelihood improvements.

Background

The SANASA Thrift and Credit Cooperative Societies provide credit for more than 700,000 low income men and women through 6800 primary societies. The SANASA system encompasses three inter-related levels: the Primary Thrift and Credit Cooperative Societies (PTCCS), the district unions, and the federation.

One of SANASA's strengths as a model is the relative independence of the primary societies. Leaders are elected locally; by-laws unique to each primary society are determined by members; clusters of six to ten primary societies are formed to facilitate savings mobilization and leadership training. District SANASA unions represent from 50 to 600 primary societies. The federation and district unions conduct trainings, lend to primary societies, receive deposits, and exercise oversight. However, the vast majority of loan funds for primary societies come from their own savings.

SANASA's principal donors are the Swedish, Canadian, and United States aid agencies, HIVOS and Australia's Community Aid Abroad (CAA). Donor assistance in the form of grants, deposits and credit has increased over the years. Primary societies disbursed Rs 1,086 million or approximately US$ 22 million in 1993.

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*Sources: Sepali Kottegoda and Indrajith Wijesiriwardana, 1994, "Sri Lanka: SANASA Thrift and Credit Cooperative Society Case Study," prepared for the World Bank Asia Region Gender and Poverty Team and Michael Goldberg, Microenterprise Specialist at the World Bank.

Actions

SANASA stresses savings; member savings are the major source of funds for credit programs and a pre-requisite for obtaining loans. Members of the Primary Thrift and Credit Cooperative Societies (PTCCS) pay membership fees, buy SANASA shares, and then apply for loans. Once a person has joined the group and bought a share, he or she must also save a minimum amount of 1/3 of the value of the loan desired before the loan application will be considered. Members must belong to a thrift society for at least three months before they become eligible for a loan and by this time, one-third of the loan value should be in savings. Average loan size in 1993 was Rs. 2543 or $53. Most loans are obtained for housing, or income generation such as agricultural production, animal husbandry and small enterprise.

With a DKSS loan of Rs. 3000 (US$62.50), one woman purchased cement and a tractor load of sand. With the assistance of a hired helper (a male relative) and the necessary implements, this woman began cement block manufacturing from her house. She and her helper together prepared the cement mixture and poured it into molds, producing cement blocks for sale. On an investment of Rs. 3000 this group member makes a profit of up to Rs. 2000 and a return on her labor.

The Demotoluwa Women's SANASA Society (DKSS), located about 100 kilometers from Colombo, is a typical example of a SANASA primary society.[4] In this village the two main crops are coconut and rain-fed paddy cultivation on landholdings ranging from 1/4 acre to 10 acres for coconut palm planting. The DKSS group, established in 1981, includes women from five villages, and has a current membership of 400. The group is primarily Sinhalese, coming from three castes: cultivators, weavers, and the coconut picking/animal husbandry caste. According to society members, any woman can join this group as long as she lives within the society's operational area, pays her membership fees, and purchases at least one society share (worth Rs. 100) within three to six months of becoming a member.

A typical SANASA client in this community is educated, married with a couple of children and has above average income. Generally they are involved in informal sector work. They have obtained loans to build their capabilities in such occupations as weaving reed mats, manufacturing cement blocks, purchasing and maintaining animals, weaving coconut palms, managing small stores, selling cooked food, rolling cigarettes, and other generally traditional modes of income generation.

Applying Tools

Many tools delineated in Part II would be useful at the community level for forming new primary societies and valuable to an NGO or other agency establishing credit opportunities through cooperative groups.

Before organizers launch a credit program, they must address a number of questions about the economy. A socio-economic survey is useful to determine the current economic situation, the ways the rural poor contribute to the economy, the nature of the informal sector, how village markets operate and current sources of credit.

- **SWOT Analysis** (Tool #31), could supplement such a survey by analyzing the positive and negative forces acting on the formation of new primary societies.

Specific questions about priority groups must be addressed. Tools such as **Focus Groups** (Tool #7), **Access and Control Profiles** (Tool #16), **Benefits Analysis** (Tool #18) and **Wealth Ranking** (Tool #8), can be useful in answering questions pertaining to the roles of women, such as

- *How do women participate in decision-making in the home?*
- *Do women participate in decision-making at the village level?*
- *Are women familiar with concepts such as interest and savings?*
- *How do women currently contribute to the economy?*
- *What are the opportunities for bettering women's position in the economy without over-burdening their work load?*
- *Do women have access to capital/property?*
- *Are women accustomed to working in groups?*

- **Gender Analysis Matrix** (Tool #20) can help reveal the impact of a credit and savings project on women, men, households and communities in regard to labor, time, resources and culture.

- **Priority Group Analysis** (#11) helps determine the most favorable strategies for lending to the most disadvantaged groups in the area.

With established groups a variety of tools focusing on organizational skills, facilitation, consensus building, and conflict resolution would be valuable in order to build participatory group decision making capabilities.

Using the SEGA Approach

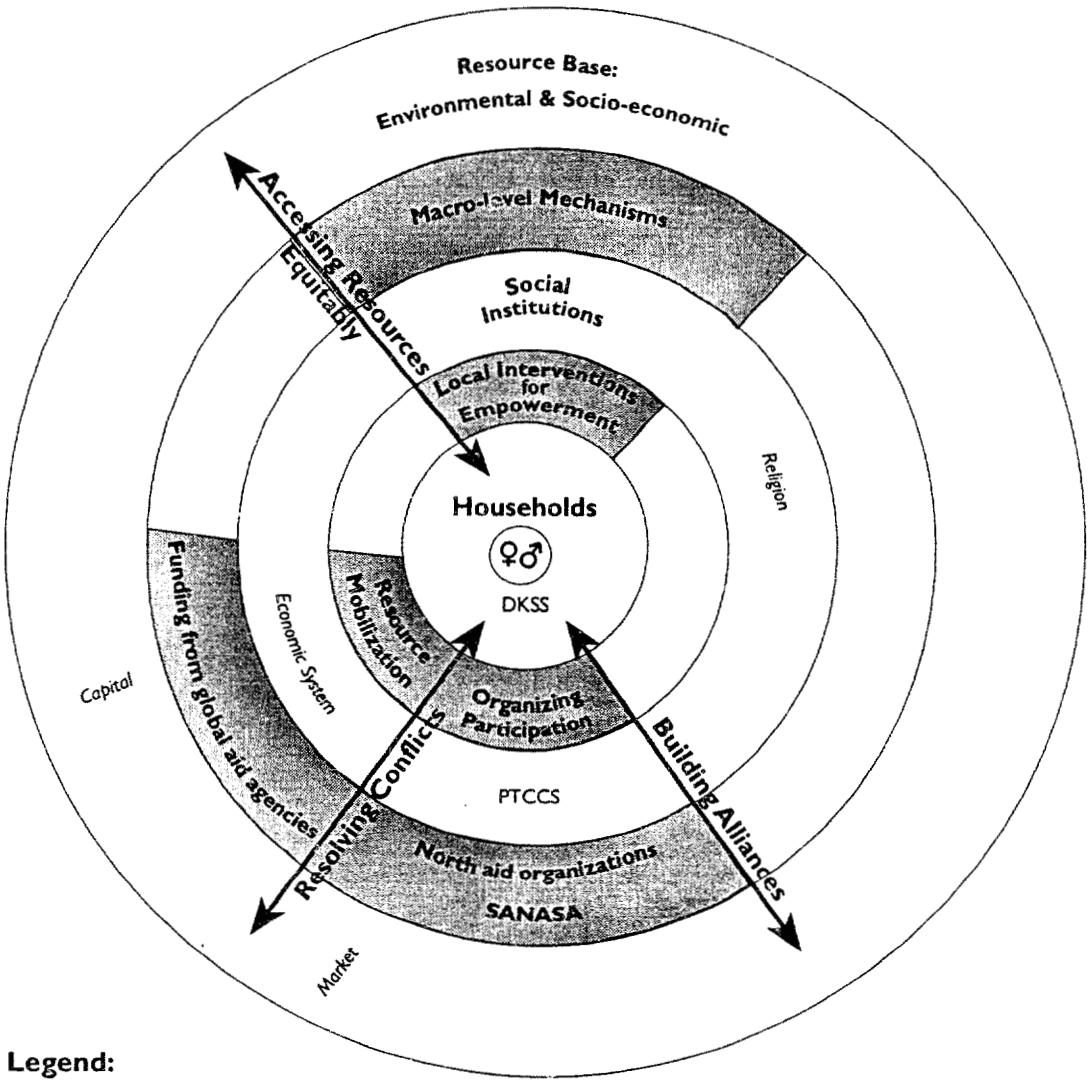
In this scenario, the SEGA approach can be useful in three ways:

- **For identifying disadvantaged groups.** The model directs the facilitator to the critical socio-economic characteristics of the community, the institutions which may create change, the institutions which inhibit it, and the opportunities for empowerment of priority groups. For example, in situations like Sri Lanka's, where there are complex and sometimes tense relations between two ethnic groups, the SEGA model can help identify ways in which credit programs can reach members of the disadvantaged as well as the dominant group.

- **For revealing the value of networks and linkages.** The SEGA model demonstrates relations across hierarchies from the local to the international level. SANASA illustrates the usefulness of the SEGA approach. SANASA has critical backing and "financial insurance" from major donor institutions. It is well organized across hierarchical tiers into an effective system of local and district societies with a national federation backed by international sources. The SEGA model provides an analytical basis for building partnerships across local, national, and international levels.

- **For addressing inequities.** The SEGA approach permits analysis of systemic inequities, showing how access and control of the environmental and socio-economic resource base are mediated through social relations within the community. It reveals opportunities for altering power relations through people's empowerment and participation.

Figure 3.3. Applying the SEGA Model t: Credit and Thrift Societies in Sri Lanka



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Scenario 4

Managing Natural Resources in Botswana*

Problem

In Lesoma, a community in rural Botswana, there are growing tensions between the different ethnic groups, particularly the Basarwa and the Ndebele. These tensions arise from competition for natural resources related to the growing population, and from the settlement of more prosperous "newcomers" in the community.

Background

A small community of approximately 300 people in the Chobe district of Northern Botswana, Lesoma is situated twenty kilometers south of the major tourist town of Kasane which is also a gateway to Victoria Falls in Zimbabwe. The forest reserve and Chobe National Park surrounding the village are protected areas and, therefore, the community has no access to resources inside the reserve, including forest products and wildlife.

Lesoma is a poor community with few employment opportunities. Agriculture is largely subsistence, and plagued by drought and soil erosion; access to outside markets is limited. A main problem is persistent encroachment by large game such as elephants and buffaloes into the village fields, since Lesoma lies astride a major migration route for wildlife. These animals pillage fields causing massive destruction of crops and trees with resulting decline in agricultural yields and capacity for the community to feed itself.

The earliest settlers in Lesoma were the Basarwa (often euphemistically referred to as Bushmen by anthropologists). The Ndebele from Zimbabwe began arriving in significant numbers about 30 years ago with the war of independence in Zimbabwe. There are also other ethnic groups which have migrated from other countries and from inside Botswana. Also, land has been purchased by better-off outsiders for new modern housing, causing antago-

*Source: Moses Samson, Yoko Ogawa, and Milan Shrestha, "Natural Resource Management in Lesoma, Botswana," a project proposal prepared at Clark University, unpublished, November 1994, and Richard Ford *et al.*, *Managing Resources with PRA Partnerships: A Case Study of Lesoma, Botswana*, 1993, Clark Univeristy.

An eroding traditional livelihood of hunting and gathering, and a reluctance to take up agriculture or to enter the wage economy have rendered the Basarwa powerless and unable to integrate into the larger community.

nism between old and new settlers.

Friction between ethnic groups over the available resources is evident in the changing patterns of leadership in the village. The chief of Lesoma had been Basarwa, but the present headman is Ndebele. The shift in leadership from Basarwa to Ndebele signifies the changing socio-economic structure within the village as well as new leadership patterns. Increasingly, the Basarwa are being pushed to the sidelines as well as dominated by these new groups in all spheres of social and economic life. An eroding traditional livelihood of hunting and gathering, and a reluctance to take up agriculture or to enter the wage economy have rendered them powerless and unable to integrate into the larger community. This situation leads to their exclusion from the development process; they have lost influence and power in the community, and are left out of educational services, income generating activities and agricultural development programs.

In addition, the number of female-headed household is significant in Lesoma. With few employment opportunities within the village, men have few choices but to migrate for wage-work. Women and children are left with numerous burdens: engaging in household reproductive work, tilling the crops, and working in government subsidized relief projects to maintain their families.

Actions

In 1993, the Botswana Department of Wildlife and National Parks (DWNP), other ministries, and NGOs carried out a Participatory Rural Appraisal (PRA) to develop a data base that the people of Lesoma could use to rank their problems, devise options to solve them, and develop partnerships with external agencies that might work with them. The goal was to offer village residents hope of sustainable livelihoods while protecting both flora and fauna in the Kasane Forest Reserve and Chobe National Park.

A two-week data collection and analysis exercise with the people of Lesoma was conducted in June, 1993. It included as many villagers as could attend, plus leaders of the Village Development Committee, women's groups, and extension staff. The PRA case study in Lesoma opened a dialogue among different groups in the village, and guided them to resolve fundamental problems of resource access, resource degradation, and competition among various groups.

The PRA exercise involved the majority of the people of Lesoma who were represented at every level of data gathering, analysis, project design, implementation, and monitoring and evaluation. Apart from the community, other stake holders were involved in order to incorporate a broad range of interests and experiences. During the course of the two weeks, the community devised a Community Action Plan based on their identification of problems, priorities, and solutions.

What is required in Lesoma now is good facilitation of community action within the framework of the PRA, the Community Action Plan, and appropriate tools for participation in decision-making involving the poor and marginalized, particularly the Basarwa and especially women. Over time, this process should contribute to building self reliance, a sense of identity, and capacity for participatory development.

Applying Tools

A wide range of data gathering tools were used in Lesoma by the residents and the PRA team including:

- **Village Sketch Map** (Tool #12) which revealed the lack of available land, given that the village lies within a forest reserve and borders a wildlife hunting reserve. It also revealed that Lesoma sits astride a migration route and clarified the immediacy of the problem of wildlife encroachment and the difficulty poor farmers have in dealing with game;

- **Seasonal Calendar** (Tool #14) which demonstrated wildlife devastation as some farmers indicated not only the seasonal problems but the fact that they have had virtually no yields from crops planted for the last five years because of wildlife encroachments into their fields.

- The **Institutional (Venn) Diagram** (Tool #9) carried out by the PRA revealed the decline of the traditional public meeting as the principal governing body of the village and the rise in importance of the Village Development Committee.

Understanding issues of ethnic conflict and cooperation are fundamental to solving resource problems. A variety of tools from the SEGA manual can reveal the complexities of household and institutional arrangements at the local level, and the opportunities for building constructive relationships across ethnic groups. Tools which were not used in this particular application of PRA, but which could deepen the understanding of social issues, including those pertaining to role definition and stakeholder analysis, are:

- **Gender Resource Mapping** (Tool #17) to help development planners understand the division of control, responsiblity and labor with regard to resources.

- **Benefits Analysis** (Tool #18) to help identify likely stakeholders and the potential beneficiaries of a given project.

- **Wealth Ranking** (Tool #8) to generate information about socio-economic distinctions within the community.

- **Priority Group Analysis** (Tool #11) to enable the community to gather data of marginalized groups such as the Basarwa.

- **SWOT analysis** (Tool #31) and **Forcefield Analysis** (Tool #32) to analyze factors helping or hindering the resolution of ethnic conflict and resource management.

- **Buiiding Alliances and Networks** (Tool #35) to help the community organize outside support through such institutions as the Department of Wildlife and National Parks (DWNP).

Using the SEGA Model

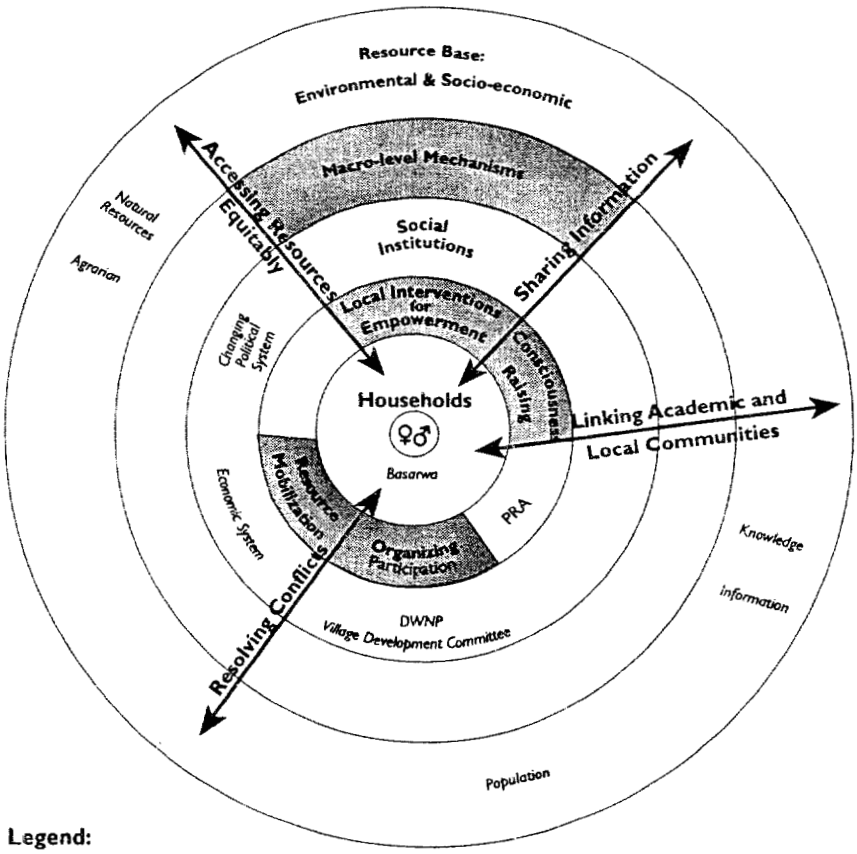
The SEGA approach links participatory methodologies with socio-economic and gender analysis in a specific setting in order to identify stakeholders and empower the most disadvantaged. In the case of Lesoma this effort is directed toward the indigenous Basarwa people placing them at the center of project identification and design. It is also attentive to issues facing all women in Lesoma.

The SEGA approach helps to clarify the variety and composition of households, with specific attention to priority groups within the community. Using it helps the observer examine the constraints and opportunities confronting the Basarwa. Moreover, the relationships of the various social institutions (noted in the middle light band of the model) to individuals and their households (as found in the center of the model) is clarified by the activities noted in the "empowerment and participation" dark band. The model clearly spells out the resources available and the ways in which access and control are mediated through social institutions. In Lesoma, the SEGA model reveals the decline of a traditional political system and the rise of a new one, demonstrating those groups to which it was most effectively linked. This model can help:

- explore ways the people of Lesoma, particularly the most disadvantaged, can participate in sustainable community-based natural resource management;

- strengthen existing community institutions or build new ones for the effective management of natural resources through greater participation in decision making;
- build understanding and reciprocity across the various social groups within Lesoma; and
- build community confidence in collective action in Lesoma.

Figure 3.4. Applying the SEGA Model to the Basarwa People and their Struggle to Access Natural Resources



Establishing Food Security in Sudan*

Problem

Fleeing drought and civil war in Sudan, over one million people have left their homes to search for food and refuge in and around the capital city of Khartoum. For the most part, displaced persons live in severe poverty with many suffering from malnutrition.

Background

Khartoum has been the destination of victims of drought and civil war for almost 12 years**. Displaced persons in Khartoum usually have little or no access to agricultural land and few chances for employment. Since 1988 the Government of Sudan has enacted a policy of forcibly relocating displaced persons from illegal settlements to official camps, but the camps have had difficulty even meeting basic needs for food, shelter, and water.

Responding to high incidence of malnutrition, government departments, international funders, and non-governmental agencies are working together through the Emergency Food Distribution Program for Khartoum State to increase food security in refugee camps. The Adventist Development and Relief Agency (ADRA) is one NGO working on the program.

ADRA/Sudan started working in Khartoum in 1984. The agency has worked in many areas of development and relief including health, water development, agriculture, small enterprise and food distribution. ADRA/Sudan is affiliated with ADRA/International based in Silver Springs, Maryland and with other country offices around the world.

Actions

With support from a large international funding agency, ADRA orchestrated

*Adapted from an unpublished paper by Nagi K. Ayoub Khalil, 1994, and an interview with Nagi and Lindy Khalil, February 21, 1995.

**While Sudan's civil war began more than fifteen years ago, Khartoum's heaviest influx of refugees began in 1985 during the extreme drought and desertification that affected the country.

two phases of food distribution in Khartoum State refugee camps. The first phase from 1985-1987 distributed food at health care centers for pregnant and lactating mothers and children under the age of five who weighed less than 80% of the average weight for their age. Under this program, individual rations were given per underweight child or pregnant or lactating woman. Monitoring and evaluation during this stage did not find significant improvements in malnourished children's weight.
The second phase of food distribution began in 1990 and continues today. As in the first phase, ADRA continues to distribute food in Khartoum's refugee camps at health centers but rations for children are no longer given singularly. Food is distributed to families with malnourished children as a family ration which is designed to subsidize food for six members. Pregnant and lactating mothers still receive individual rations but the ration portion has increased.

The monitoring and evaluation mechanisms revealed shortfalls in the first phase of the program as the weight of children receiving rations did not increase significantly. It was discovered that the ration was being stretched to feed the whole family rather than the child it was intended for. This was addressed in the second phase by providing rations for the entire family rather than just one child.

Applying Tools

The Emergency Food Distribution Program in Sudan was designed to increase food security among the most disadvantaged of a displaced population. Food aid is directed to children under the age of five and pregnant and lactating mothers as the groups most susceptible to malnourishment and its associated ills. Because ADRA was contracted via a funding agency to carry out an established program, ADRA was not directly involved in developing the program. The following tools might have helped identify potential problems with the food aid program:

- **Interviews** (Tool #6) and **Focus Group Discussions** (Tool #7), with mothers to reveal the family dynamics and priorities that made single rations ineffective at an earlier stage in the program;

- **Access and Control Profile** (Tool #16), with a particular concentration on food resources, to clarify the food security issues faced by men and women in refugee camps;

- **Role Play** (Tool #22), to uncover and overcome misunderstandings relative to the food distribution program; and

- **Problem Cases** (Tool #21), to show how family dynamics affect food distribution.

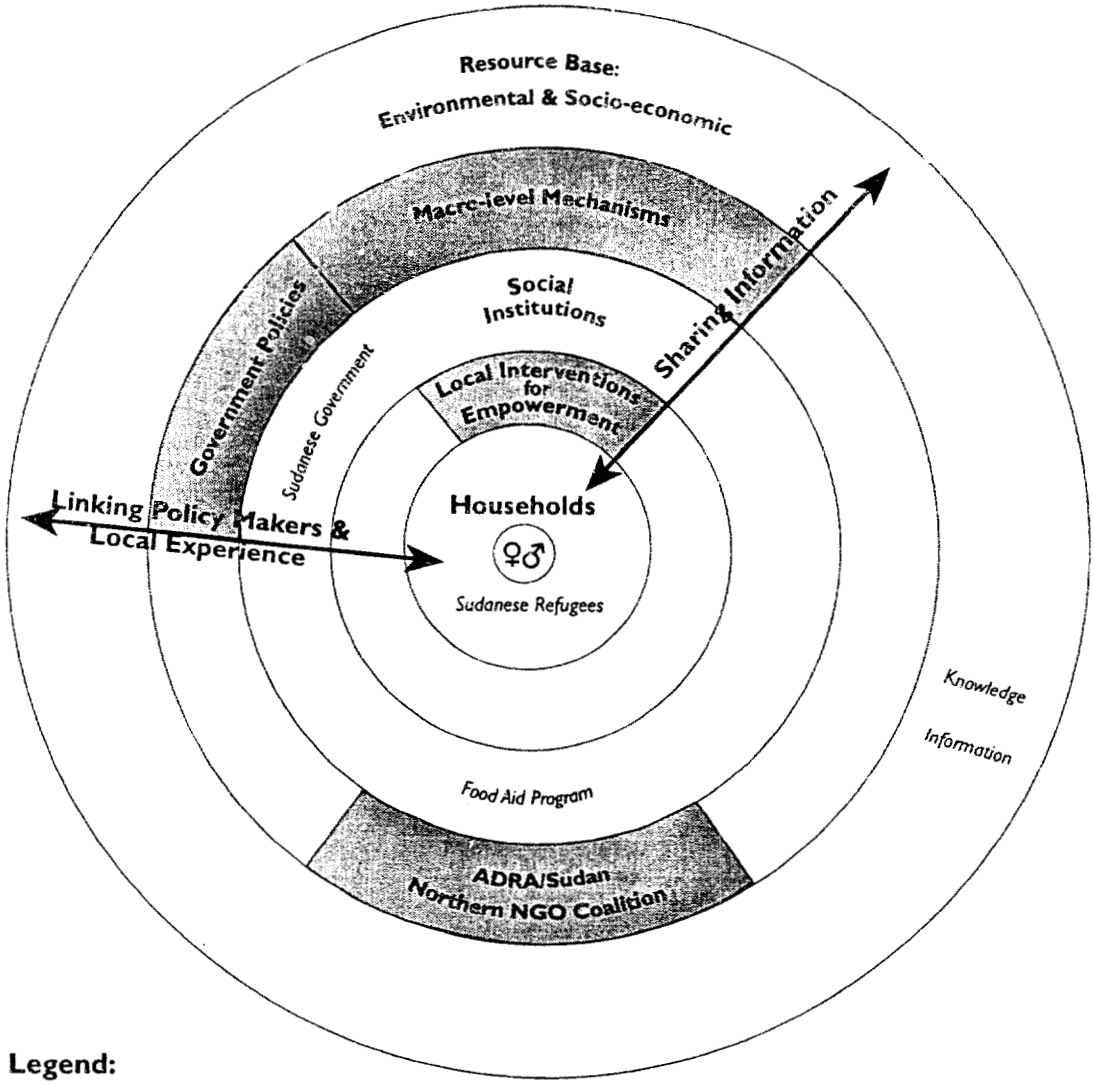
Using the SEGA Model

ADRA's experiences with a food distribution program in Sudan illustrate some of the difficulties involved in keeping communications open between large international funders and field organizations. While ADRA's personnel had a strong sense of the situation within the refugee camps and evaluative data suggested that there was a need for program improvements, the data and knowledge from the field were not effectively conveyed to the funders.

A complex set of factors hampered communications. While lines of communication between the funders and the field office were effectively left open, the project was not structured in such a way that encouraged field input and the field staff did not feel confident in approaching their funding source. Furthermore, while ADRA was monitoring children's weights regularly, the organization did not focus on formally analyzing the data as their efforts were concentrated on providing the services promised to the funding agency.

The arrows of the SEGA model show processes or interventions such as sharing information or linking local experience with policy makers that can help alter the conditions that produce or reproduce inequities. While it is relatively easy for policy to move down through the local level, the example illustrates well the challenges faced in feeding knowledge and information up to decision-makers at the macro-level. Looking at the arrows of the SEGA model, one must emphasize that the flow of information should radiate out from the center band as well as into the core.

Figure 3.5. Applying the SEGA Model to Sudanese Refugees



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Enabling Participatory Processes in Land Management in the Czech Republic*

Problem

The Czech Republic's national government is moving away from centralized decision-making and transferring more authority to the local level. Local and regional governments and an increasing number of non-governmental organizations are working to address a host of environmental issues. Operating within changing political and socio-economic contexts, groups have not cooperated well with each other nor sought local-level participation to effect sound land management.

Background

Sweeping political changes in Europe, culminating in the destruction of the Berlin Wall in 1989, affected many aspects of life in Central and Eastern Europe. Local governments are becoming increasingly important players in decision-making processes, yet most have had only limited experience historically with community outreach, public involvement and consensus-building. Many citizens are not yet aware of how decisions made at the local level can affect them nor of how they can influence decision-making processes.

Local leaders, government agencies, and environmental professionals must respond to the following trends shaping the rural landscape of the Czech Republic:

- redistribution and privatization of land;
- increasing focus on economic development and less priority given to environmental protection; and
- increased unemployment and outmigration in rural areas.

The Atlantic Center for the Environment conducted a Landscape Stewardship Exchange program in the Palava region of the Czech Republic in

*Sources: Brown and Mitchell, 1994, *Stewardship in Central Europe*, Atlantic Center for the Environment , 1994, *Palava Landscape Stewardship Exchange*, interview with Jessica Brown and Brent Mitchell, March 3, 1995, and an unpublished proposal, "Natural Resources and Local Democracy in the Czech and Slovak Republics: A Training and Exchange Program," by the Atlantic Center for the Environment, 1994.

October 1994 to help open dialogues and foster participatory processes for better land management. The Landscape Stewardship Exchange relies on the visit of an international team to promote discussion and exchange of ideas among local actors. The Exchange program is predicated on the belief that no matter how polarized conservation/development decisions become, common ground can usually be found if stakeholders engage in a dialogue.

Actions

The Palava Stewardship Exchange was a participatory rural development planning exercise that convened an international team of environment and development experts to visit the Palava region. At the invitation of local leaders, the team conducted an intensive week-long case study. The visiting group toured the area and met with a wide spectrum of leaders from businesses, non-governmental organizations, and state and local governments to discuss issues and concerns regarding rural economic development and landscape conservation. The team focused on problems which had been identified locally by a representative committee. The committee had met over a six month period to decide the key points to be examined and organize an itinerary for the team's visit. The excitement generated by the visiting group of international experts increased public awareness of the issues and created a context within which local groups could begin to speak and think about issues in a new light.

The Exchange team prepared a joint report of their observations and presented the main points of the report at a public meeting. In presenting their diverse views to the Exchange team, stakeholders were actually presenting views to each other and refining their positions. For example, conservation professionals from the Czech Republic responded with interest and surprise to hear their international peers promote the inclusion of local participation in resource management strategies. Such discussions can help effect changes in a system which has not allowed for public participation.

The Exchange team offered observations and suggestions at the close of their visit. However, recommendations may be less valuable than the actual process of examining the issues with stakeholders. The opportunity for groups with competing interests to begin speaking with each other via meetings with impartial outsiders, and the public attention which resulted from this process, are probably the most important outcomes of the Exchange.

The Atlantic Center plans to continue work in Palava and other regions of the Czech and Slovak Republics to promote public participation in environmental problem-solving by helping local governments reach out to citizens. Funding proposals to

this end are pending. The Atlantic Center is considering strategies to foster expanded representation of local interests across diverse social and economic categories in future project stages.

Applying Tools

The Exchange program relied heavily on the use of a number of tools including:

- **Interviews** (Tool #6) and **Small Group Discussions** (Tool #7) to gather information regarding rural landscape conservation & economic development.

- Many of the organizing strategies detailed in Part II, Section A of the manual such as **Consensus-building** (Tool #3) and **Conflict Management** (Tool #4) were inherent in the structure of the program.

The program, however, did not specifically seek out the participation of marginalized groups in the exchange. Most notably, women are often excluded from formal decision-making processes in the Czech Republic. Only two of the 34 individuals with whom the Exchange team spoke were women. Several tools in Part II, section C of the manual are designed to help analyze divisions of labor and responsibility as well as access to and control over resources. These tools such as:

- **Access and Control Profile** (Tool #16), **Gender Resource Mapping** (Tool #17), or **Gender Analysis Activity Profile** (Tool #19) could be used in future exchanges to help reveal women's roles and priorities in land management.

The Exchange program encountered difficulties including the average citizen's views regarding resource issues. This stemmed in part from a lack of tradition of public meetings and participation in the area.

- **Focus Group Discussions** (Tool #7) with citizens could help uncover local attitudes and perceptions revealing how residents can best be included in government processes.

- **Institutional (Venn) Diagrams** (Tool #9) could be used to learn how citizens perceive the effectiveness of different organizations.

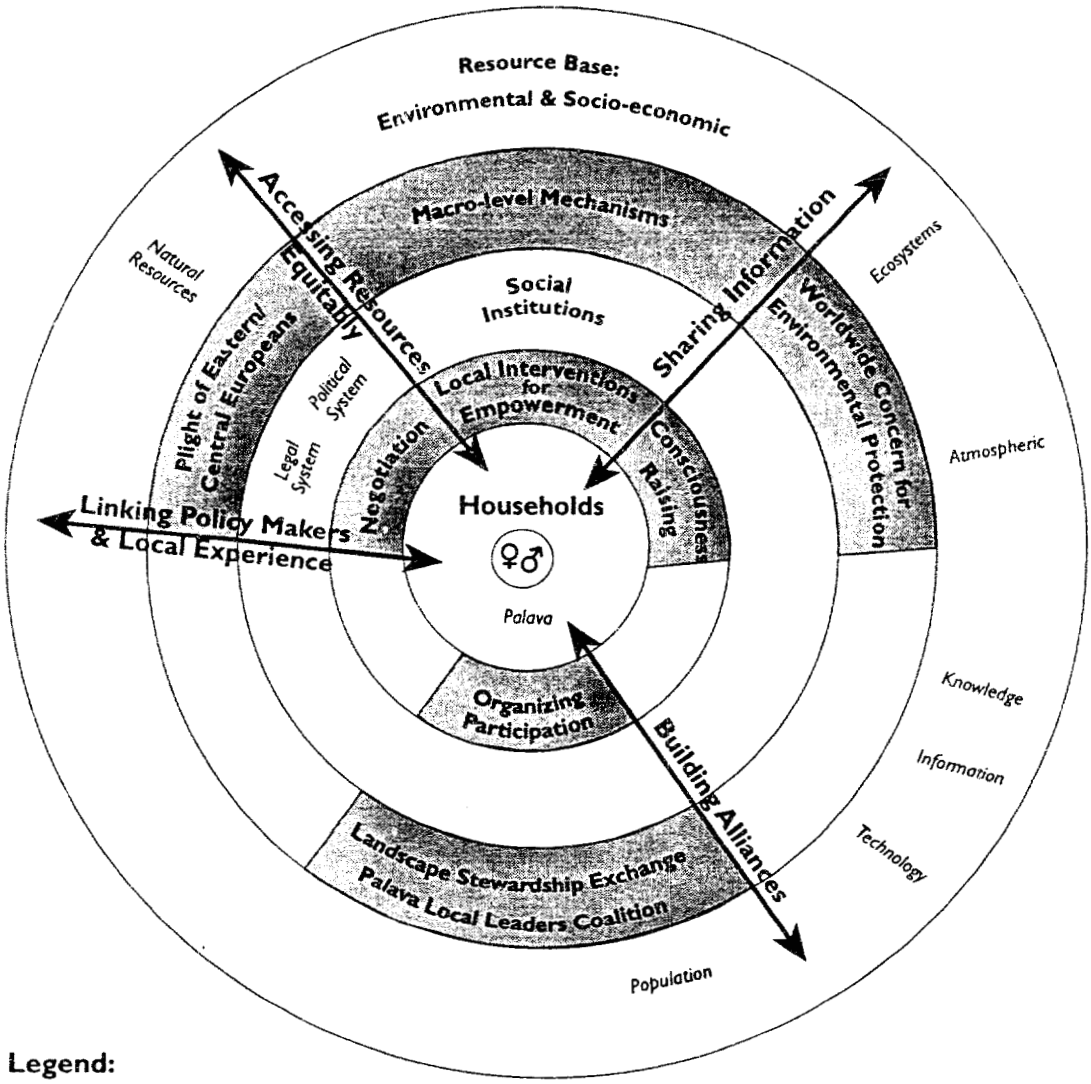
Using the SEGA Model

The Landscape Stewardship Exchange in Palava began a process of linking policy makers to local people and building alliances as shown by the dark spokes of the model. Diverse parties were able to come together via the program, share information, and begin dialogues to foster more effective, coordinated resource management amidst a changing social and political atmosphere.

The larger village and town structures in the Palava region pose some difficulties in looking at individuals and households as the unit of analysis that the SEGA model puts forth. It is not, for example, easy to conduct a Wealth Ranking exercise or a Village Sketch Map in a town of 6,000. Facilitators will need to consider modifying appropriate tools to fit into larger settings. However, some tools such as the Community Action Plan have been used successfully in communities of 7,000 or more.

The SEGA model is a useful way to envision the systems and social institutions which mediate resource access. The Landscape Stewardship Exchange used many of the components of the inner dark band such as consciousness-raising and participation to foster cooperative environmental management. The program operated within and drew upon macro-level mechanisms (outer dark band) such as worldwide concern for environmental protection and for the plight of Eastern and Central Europeans.

Figure 3.6. Applying the SEGA Model to Land Management in Palava



Legend:

Structures/Conditions
Processes/Interventions

Networking for Disaster Response in the Philippines*

Problem

The 7,100 islands that form the Philippines are continuously rocked by natural disasters including typhoons, earthquakes, and volcanic eruptions. The national government's mechanisms for providing disaster relief and assistance have been inadequate, leaving vulnerable groups in particularly perilous situations.

Background

Responding to political, economic and social issues at the end of the Marcos Era in Philippine history (the mid-1980s), the NGO community began galvanizing its strength to offer services that the government had failed to provide adequately. Recognizing the government's limited effectiveness in preparing for and responding to disasters, the Citizen's Disaster Response Center (CDRC) began with a national campaign in 1984 to secure resources for flood victims and grew into a national network.

CDRC today works with 18 regional centers throughout the Philippines. Each regional affiliate is autonomous, yet shares a common vision and mission. Regional centers organize local group efforts to prepare for and respond to disasters. The national body (CDRC) operates out of Manila. Its responsibilities include appraising and monitori. projects and operations in the field, providing training programs and support through regional affiliates, disseminating information, advocacy, and strengthening ties between CDRC and various international government and non-government donor organizations and individuals.

The efforts of CDRC and its regional affiliates can be divided into three categories: pre-disaster preparations, emergency responses, and rehabilitation assistance. CDRC has focused its attention on developing disaster management programs to help increase people's capacity to prepare for

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Sources: Interviews with Michael Bedford, Program Officer for Southeast Asia, Oxfam America on March 16, 1995 and Zenaida Delica, Executive Director of the Citizens' Disaster Response Center and Leyte Center for Development, 1992, "Typhoon Uring Relief and Rehabilitation."

disasters and recover quickly. Assistance is also directed toward improving the economic situation of the most marginalized groups and thereby lessening their vulnerability.

Actions

In November of 1991, Typhoon Uring (international code name: Thelma) hit the island of Leyte in the Visayan region of the Philippines with heavy rains and severe flooding. In and around Ormoc City, more than 5,000 people were killed and more than 7,000 families were rendered homeless. Via their resource mobilization and organizing capabilities, CDRC's presence in the area before, during and after the crisis was able to help alleviate the suffering.

Before - Working with their regional affiliate, the Leyte Center for Development (LCDE), CDRC had helped conduct several community-based training programs on disaster management. Earlier in 1991 a consultation on disaster preparedness was held with local community organizations and NGOs. Consultation dialogues with students and professional groups were also conducted to improve awareness and involvement of more privileged groups with the needs of vulnerable groups.

During - As the typhoon approached, CDRC dispatched two field officers to assist LCDE in setting up emergency response systems. LCDE's Board of Directors was contacted to facilitate the release of funds for the initial purchase of relief goods. Teams were dispatched to affected areas to conduct needs assessments of the damage. Volunteers were mobilized and a 24-hour disaster operation was quickly underway.

As reports of extensive destruction and requests for aid reached the operation center, LCDE began sending relief supplies to villages. A lack of transportation vehicles initially slowed delivery of goods, but public vehicles were hired and the Department of Public Works and Highways and the City Government of Ormoc lent transport vehicles to LCDE to facilitate relief efforts.

Seeing the need for widespread assistance in relief efforts, LCDE initiated the participation of local individuals and a variety of organizations. CDRC deployed additional staff to help LCDE direct the increasing numbers of volunteers. Two emergency operation centers were set up to hasten the supply of services to disaster victims. Relief packs distributed to families included food, blankets, cookwares, washing supplies, clothing, and tents.

Efforts were coordinated at the national level by CDRC which worked with donor agencies to generate material resources and to transport goods from Manila to Leyte. CDRC was able to access and coordinate the material and technical facilities of a large number of organizations thereby reducing in-fighting or duplication of services and facilitating better service delivery.

After - Following a three-month relief assistance phase, the CDRC shifted its efforts to disaster rehabilitation. CDRC and LCDE began by mobilizing communities to clear fields and roadways, and repair infrastructure and damaged facilities under food-for-work programs. Consultations were held with communities to decide the most appropriate types of rehabilitation projects.

The *Typhoon Uring Rehabilitation Program* has three major components: 1) to address the issue of food security and socio-economic restoration via agricultural recovery and enhancement projects; 2) to address the need for environmental preservation with projects that stress watershed reforestation, agroforestry, and nursery development; and, 3) to focus on lessening the vulnerability of disaster victims through organization, education, and training programs.

Applying the Tools

A number of the strategies listed in Part II, section F of this manual were used by CDRC and its regional affiliates to prepare for and react to the strong typhoon.

- **Building Alliances and Networks** (Tool #35). The effectiveness of the individual organizations was enhanced by their coordinated efforts working under the umbrella of CDRC and its regional affiliate. During the time of crisis, groups were able to combine their efforts to strengthen their delivery of services.

  CDRC's work with the international funding community allowed the voices of people and small organizations working at the ground level to be heard more effectively. Support was transferred to small organizations that may not have had the expertise needed to link with international donors.

- **Documenting Processes** (Tool #40). CDRC carefully worked to document their activities in Leyte so that they could provide thoughtful analysis of the events and improve upon their work. Through this documentation they were able to show where they were most effective and where they could improve.

CDRC's training and education programs to prepare for disaster at the community level are designed to help the most vulnerable sectors of society. CDRC considers its recipients to be active members of the community. Their view of relief aid is thus focused on

development and empowerment. A number of tools could be useful in their efforts to organize locally:

- **Priority Group Analysis** (Tool #11) to aid participants to analyze how the situations of the most vulnerable differ from those of the more secure members of a community;

- **Trend and Time Lines** (Tool #13) to help communities analyze forces that that have changed over time which could affect likelihood of disaster (for example, lack of forest trees leading to increased flooding and landslides); and

- **Wealth Ranking** (Tool #8) to identify the most economically disadvantaged members of society so that their situation could be analyzed.

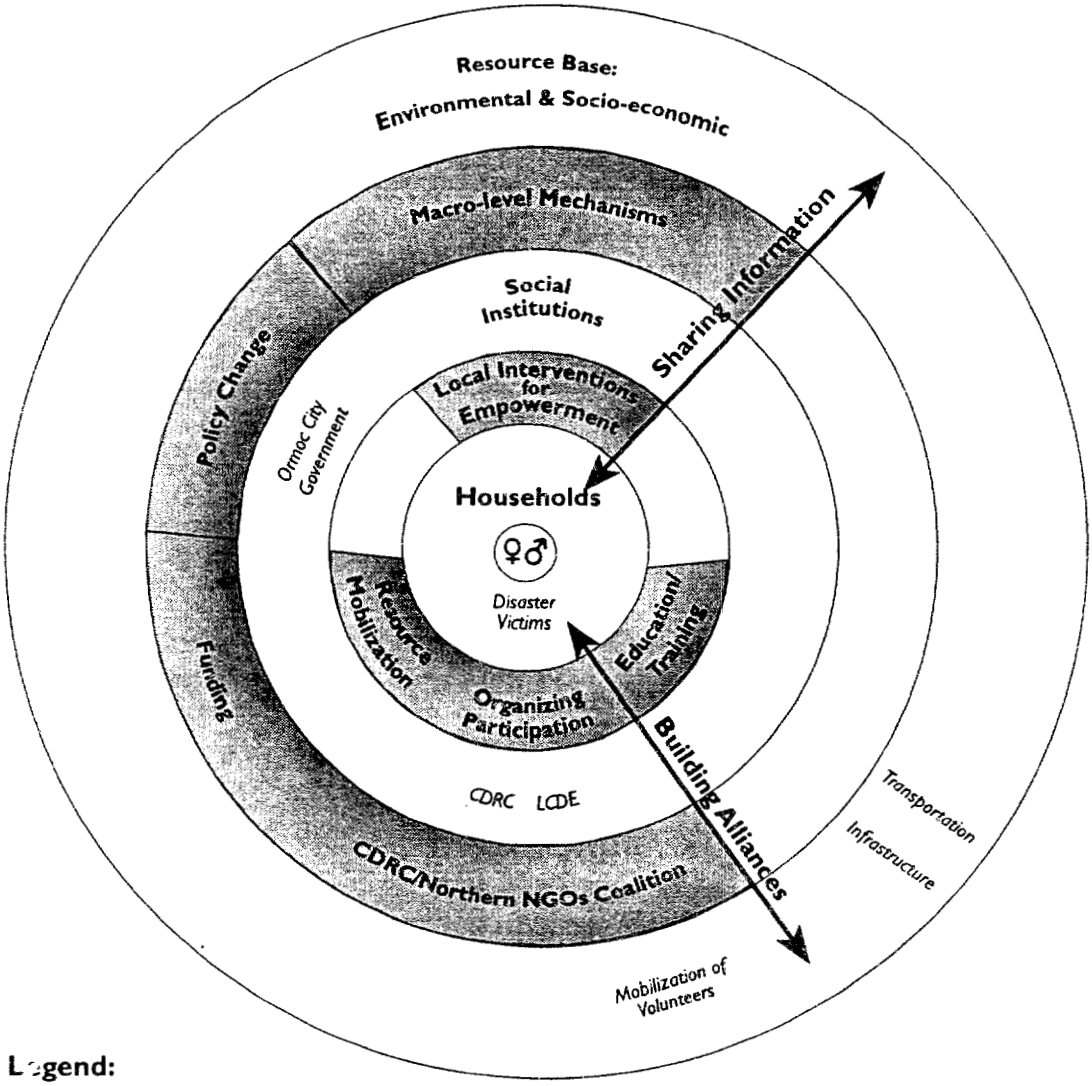
Using the SEGA Model

The work of CDRC and its regional affiliates demonstrates the effectiveness of some types of interventions depicted by the model. One of the arrows shows that by building alliances and networks, the macro-level mechanisms (dark outer band) can be accessed for empowerment and development at the local level. In this case, funding agencies and policies were linked to communities. Information about life in rural areas and responses to disaster were shared with the international agencies. This sharing of information may help influence policy changes.

CDRC used a variety of interventions (inner dark band) at the local level to help work for change. In particular, CDRC used education and training before the disaster to help prepare communities. They also mobilized resources from around the world to help respond to the disaster. By working to help organize the communities, people (many of them from the most disadvantaged groups) were able to work with the local organizations to help deliver services and to participate in post-disaster development projects.

Pre-disaster activities are focused on implementing socio-economic projects to help reduce priority groups' vulnerability to disasters. Groups have conducted community-based training on disaster management. Consultations on disaster preparedness with local NGOs and community groups are held along with dialogues with students and professional groups. These activities increase awareness and involvement of more established and secure security members in the needs of priority groups.

Figure 3.7. Applying the SEGA Model to Disaster Victims in the Philippines



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Structures/Conditions
Processes/Interventions

Conducting Participatory HIV/AIDS Research in Brazil*

Problem

The number of women in Brazil infected with HIV/AIDS has steadily increased. The incidence of AIDS among women is expected to equal that of men by the year 2000, and poor women stand to suffer disproportionately.

Background

More than three million women worldwide are HIV positive. Brazil claims the third largest number of reported AIDS cases in the world and the number of HIV positive women is increasing steadily. Data are limited on cultural and socio-economic factors that put women at risk for HIV infections and the options available for prevention. Responding to this need, the International Center for Research on Women (ICRW) established a Women and AIDS program designed to support research in developing countries on ways to reduce women's risk of HIV infection.

Actions

The Brazil study combined the efforts of the University of California, Berkeley, with the *Associacao Brasiliera Interdisciplinar de AIDS*, a national NGO working to educate the public about AIDS, and the Coletivo Feminista Sexualidade e Saude, a feminist group focusing on reproductive health. The project helped to begin a dialogue between the feminist and AIDS action communities on the importance of gender issues in AIDS prevention.

The Women and AIDS project team in Brazil used participatory methods to understand the factors which contribute to women's vulnerability to HIV infection. The team held three rounds of group discussions with women in low income communities. The first round was to learn about women's perceptions and practices regarding AIDS and sexuality. This information, along with data gathered from in-depth interviews and participant observa-

*Adapted from an International Center for Research on Women bulletin, 1993, "The Women and AIDS Research Program" and a report by D. Goldstein, 1994, "The Cultural, Class, and Gender Politics of a Modern Disease."

tion, was used to develop a preliminary video and pamphlet. Subsequent rounds of group discussions were used to allow women to respond and recommend changes to the proposed video and pamphlet.

The ICRW study used participatory research methods to understand the socio-cultural values and attitudes which increase women's risk of AIDS infection. Findings noted women's inability to communicate with their partners about sex as one factor making it difficult for them to assess the risk that partners may pose. The cultural importance of women's virginity and fidelity coupled with the condoning of multiple partnerships among men also contributed to women's risk.

The findings of the participatory research directly informed the development of the intervention materials. More broadly, the findings assisted the Brazilian NGOs and the US academic community to better understand the factors affecting poor women's exposure to the AIDS virus in Brazil.

Applying Tools

The above-mentioned findings were elicited through:

- In-depth **Interviews** (Tool #6) with both men and women and **Focus Group Discussions** (Tool #7) with women from low-income areas. These tools allowed the project team to learn from the experiences of local individuals. With these means, outreach materials were both informed and critiqued by the intended target audience.

While women were provided an opportunity via the focus group discussions to come together and discuss issues surrounding their lives, raising consciousness within small group settings was not an overt goal of the Brazil research. Further study could have incorported tools such as:

- **Priority Group Analysis** (Tool #11) to identify the special needs of HIV positive women;

- **Gender Analysis Matrix** (Tool #20) to help poor women analyze their situations and become empowered;

- **Story with a Gap** (Tool #30) to allow women an opportunity to participate in discussions addressing problems; and

- **Role Play** (Tool #22) to focus on socio-cultural and health issues giving women a new awareness of their situations.

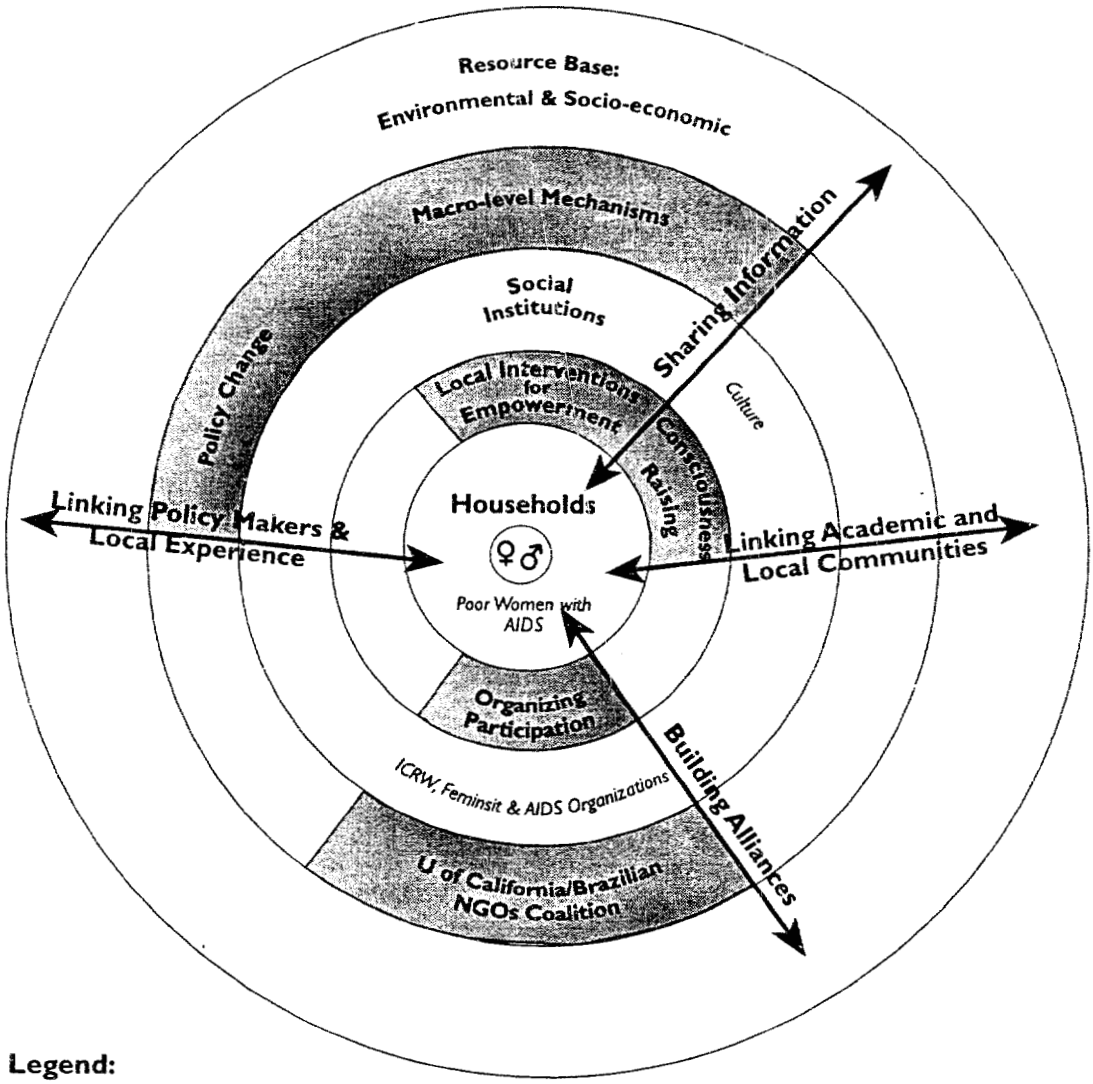
Using the SEGA Model

As ICRW's Women and AIDS project in Brazil illustrates, organizations can better serve the needs of beneficiaries by working with them to understand and address problems together. Looking at the SEGA model, one sees that the Brazil team began their analysis with a breakdown of class and gender in the center of the model, focusing on poor women. Interventions at the local level (inner dark band) utilized participatory methods geared toward raising consciousness and empowering individuals.

Several of the radiating arrows of the SEGA model suggest that links between academic and local communities as well as between policy makers and local experience can help alter the conditions which reproduce inequities. The Brazil study is a good example of academic and field organizations from the North and South working together to learn from the experiences of local individuals. Furthermore, the dialogue that was opened between Brazilian feminist and AIDS organizations helps create networks and alliances at the local level so that groups may combine their strengths to work for change.

The Brazil study is a good example of academic and field organizations from the North and South working together to learn from the experiences of local individuals.

Figure 3.8. Applying the SEGA Model to Poor Women with AIDS in Brazil



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Developing Markets for Minority Farmers in the U.S.*

Problem

Small farmers, particularly Black farmers, in the United States have historically been marginalized in the marketplace, both in the direct and wholesale marketing of farm products. The reasons vary, but include poverty and continuing racism resulting in lack of access to land and financial and technical resources.

Background

Farming families throughout the United States are still reeling from the disastrous 1980s when interest rates skyrocketed, land values plummeted, production costs soared and farm foreclosures were widespread. Although all family farmers across the United States endured many hardships during that time, Black farmers in the southeastern part of the United States suffered disproportionately. Between 1982 and 1987, for example, the total number of Black family farms declined by 30 percent (compared to less than seven percent for white farms). Since then, floods in 1993, bumper crops but low prices in 1994, and anticipated federal budget cuts in agriculture for 1996 promise to burden the plight of the Black small family farmer further.

Subject to separate and unequal treatment, Black farmers are at a distinct disadvantage when it comes to receiving government-funded programs and accessing markets for their crops.

Historically, Black farmers/landowners in the southern part of the United States[7] have been pressured to sell their land in the face of mounting inaccessibility to financial resources. Subject to separate and unequal treatment, Black farmers are at a distinct disadvantage when it comes to receiving government-funded programs and accessing markets for their crops.

*Adapted from an interview with Hubert Sapp, U.S. Regional Program Coordinator for Oxfam American, on March 2, 1995, Annual Report of the Federation of Southern Cooperatives/Land Assistance Fund, Atlanta, Georgia, 1993-1994, and J. Zippert, 1994, "Not one more acre," pp. 34-38.

Federal agricultural agencies, such as Farmers Home Administration (FmHA), whose purpose it is to provide low-interest loans to disadvantaged farmers, have ironically promoted the decline of minority farming by providing assistance to Black farmers based on their representation in the total farm population: the more minority-operated farms disappear, the less FmHA provides.

Small farmers are disadvantaged in the marketplace as well. The trend of falling commodity prices and rising input costs continues, and the corporate agribusinesses reap huge profits in the markets and in the food processing and distribution system. Large farmers often obtain a higher price than smaller farmers for crops and animals. Resource-poor farmers are at the mercy of wholesale middlemen who profit from small farmers' inability to store or transport harvests or negotiate prices as they seek to sell their produce immediately.

Actions

The Federation of Southern Cooperatives/Land Assistance Fund, a regional association of farm cooperatives in the southeastern part of the U. S., has offered financial and technical assistance to limited resource farmers and the rural poor in that region since 1967. The Federation's primary objectives have been to reverse the trend of Black farm land loss and build rural communities.

These goals were in line with those of Oxfam America, an NGO based in Boston, Massachusetts. Oxfam's work, based on the principle of partnership with disenfranchised people, supports community-based development that builds on and enhances local skills and resources. Oxfam makes long-term commitments in working with partners to overcome obstacles and seize opportunities in promoting empowerment and structural changes to achieve social and economic justice. In October, 1992, Oxfam requested that the Federation convene a meeting of farmers and staff of exemplary programs working on the problems of Black family farmers, farmworkers and other disadvantaged rural people in southeastern U.S. Participants at this initial meeting cited the need to ensure that farmers have a stable market. One recommendation was to provide support to family farmer/farmworker cooperatives in developing marketing programs for farm products raised by cooperative members.

In response to this meeting Oxfam America gave the Federation a grant of $ 49,000 in September, 1994 to initiate the Southeast Co-marketing project. The objectives of the market development program were twofold. The first was to build the capacity of farmers in marketing certain crops, such as vegetables, cut flowers, fruits and nuts, directly to retailers, thus eliminating the need for middlemen. Local cooperatives

developed a direct marketing strategy aimed at selected urban centers. To this end, cooperatives explored potential urban retail markets and recruited farmers to grow produce for these markets.

The second objective was to organize farmers to participate in the commercial market arena, by-passing the multi-millionaire corporate brokers. The Federation organized farmers through local cooperatives and presented formal leadership, production and packaging training programs, to better equip farmers in meeting the criteria of a demanding and fickle market. Because this project is in its initial stages, evaluation of the project is premature at this writing.

Applying Tools

- Local cooperatives used participatory research methods, such as **Interviews** (Tool #6) and **Group Discussions** (Tool #7) to identify market sites and gather specific information on varieties and amounts of produce to plant for retail rural/urban markets. Developing commercial markets and regional marketing strategies requires the broad inter-organizational relationships that the Federation has built up over the years. The regional network defined its purpose based on the identified goals of its various cooperative constituencies.

While Oxfam and the Federation used the network of existing cooperatives to understand the difficulties facing minority farmers, using the following planning tools could help in developing a regional marketing strategy:

- **Demographic Analysis Activity** (Tool #10) useful in planning a program serving the particular needs of different demographic groups; and

- **Priority Group Analysis** (Tool #11) focusing on the needs and capacities of marginalized farmers in a particular area.

The following data analysis tools could be helpful in expediting project formulation at the local or regional level:

- **SWOT Analysis** (Tool #31) to analyze strengths and weaknesses of direct and wholesale marketing of farm products;

- **Forcefield Analysis** (Tool #32) to look at the positive and negative forces affecting the development of farm markets; and

- **GANTT Chart** (Tool #34) or the **Project Planning Matrix** (Tool #33) to clarify the major stages of a project and time frame in which to complete the project.

Assessing what works and does not work in the marketplace is fundamental to sustaining success. Evaluation of farming activity at the local level with objectively verifiable indicators such as the number of bushels of a product harvested, price range, total output for the county and state can provide base data for future planning. It is equally important to reinforce, create and evaluate alliances and networks among cooperatives at the regional level (See Tool #35 on **Building Alliances and Networks**). As the alliance between Oxfam and the Federation demonstrates, establishing regular communication channels among farmers, their cooperatives and regional organizations can positively affect individuals and local groups.

Using the SEGA Model

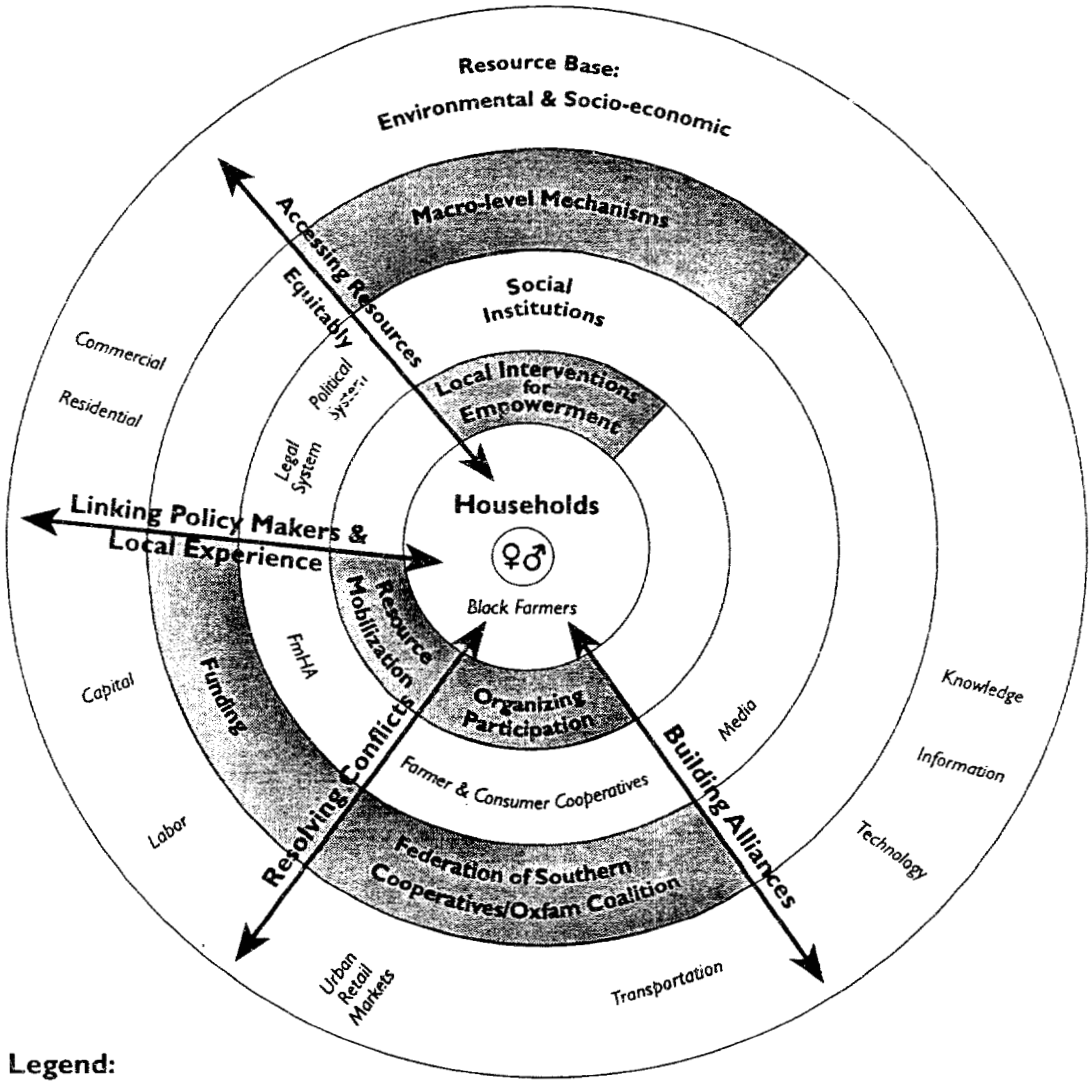
In the farm-to-city marketing project, Oxfam America and the Federation of Southern Cooperatives forged a partnership in order to build the capacities of minority farmers and promote rural community development from land-based activities. Looking at the SEGA Model, we see that resource-poor farmers (at the center) have become empowered by their participation in local cooperatives.

Institutions intervened in response to farmers' needs to access regional markets, as well as capital and technical resources. They provided funding and formed networks, as shown in the outer dark band of the model. Oxfam and the Federation's efforts in building networks (linking mechanisms that cut across all concentric circles) of rural and urban, producer and consumer cooperatives should result in new social institutions that will work on behalf of minority farmers in acquiring access to organizations and resources. In turn, these networks can negotiate directly with social institutions that have in the past restricted minority participation (such as the media, FmHA and political and legal organizations) and can mediate access to the resource base (such as land, natural resources and markets).

Alliance building can enable both grass-root and tree-top organizations to inform each other, share resources and resolve common problems

As this scenario demonstrates, bridges are not just one-way: Oxfam and the Federation enhanced the capacity of rural farmers/farmworkers to promote sustainability and justice in food production and distribution and to create concrete, effective channels for local-level initiatives to inform public policy making at local, state and national levels. Alliance building can enable both grass-root and tree-top organizations to inform each other, share resources and resolve common problems, in the process transforming institutions which had hitherto excluded disadvantaged groups.

Figure 3.9. Applying the SEGA Model to Resource-Poor Farmers in the U.S.



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Structures/Conditions
Processes/Interventions

Building Networks and Coalitions in the Caribbean*

Problem

The small island nations of the Caribbean are poor, encumbered by a colonial past, and marginalized in the context of international economic policies and increasing Northern interest in Eastern Europe and Asia. Caribbean NGOs have determined that coordination on Caribbean policy and advocacy issues would strengthen their work and bring a coherence to their efforts particularly on matters of environment, human rights, and approaches to development.

Background

The Caribbean Policy Development Centre (CPDC) was established in February 1991 by 19 Networks of NGOs in the Caribbean region. The CPDC is a regional resource institution set up to strengthen Caribbean organizations in development policy analysis, to build regional cooperation among NGOs, and to enhance and validate the role of the NGO sector in the planning process. Its purpose is to develop and work towards the implementation of policies which are in the interest of Caribbean people. It promotes development which is people-oriented, is based on active and effective participation of people in the development process, is environmentally sustainable, is equitable in terms of gender, race, class, generation and ability/disability and protects human rights.

The CPDC is now a legal entity in its own right, registered as a non-profit company under the laws of Barbados. Its membership stands at 22 networks. Establishment of the CPDC has been assisted by the Caribbean Conference of Churches (CCC), which is now utilizing the resources of the Centre to develop an Economic Education Project for Caribbean member churches. The CCC and the CPDC Coordinator represent the Caribbean on

*Sources: Annual Report of the CPDC, 1992-1993, Annual Report of the Association of Development Agencies, 1994-1995, and conversations with Joan French, Coordinator for the CPD/C, Dorothy Hollingsworth, Deputy Chairperson for ADA, and Judith Bullen, Program Officer for the Caribbean, Oxfam America.

the NGO Working Group of the World Bank .

CPDC's mission is to help NGOs understand where and how policies are made and how they affect each individual; to share information about these policies, and build confidence in people about their ability to influence policy; to work constructively with Governments to design and support policies that benefit and improve the lives of people in the Caribbean; and to work together to change policies that do not benefit Caribbean people.

Actions

During its first two years CPDC focused on developing responses to regional and international policy issues, particularly structural adjustment and environment and development, incorporating a gender focus into work on these two issues. CPDC seeks alternatives to the IMF/World Bank Structural Adjustment model. It has critiqued the development path outlined by the IMF to regional governments, suggesting instead a process of development centered on the needs, aspirations and potential of the Caribbean people. Its approach has been presented in papers on international economic policies, documentation of material on alternatives, and creation of public awareness through wide distribution of a book, "Challenges in Caribbean Development." In addition, it has developed two items in collaboration with academic institutions: 1) an Economic Education Resource Kit which examines the relationship of Caribbean economics to Structural Adjustment policies; and 2) a publication on the implications of the General Agreement on Tariffs and Trade for the Caribbean.

Haiti, Cuba, Guyana and Belize have been identified for special attention within the context of Caribbean integration. CPDC emphasizes Haitian participation in regional forums, ending the US embargo against Cuba, human rights issues in Guyana, and migration and national identity issues in Belize. CPDC has consultative status with the CARICOM Regional Economic Conference and is seeking to strengthen relations in order to provide strategic NGO input into the CARICOM process.

CPDC publishes a Bulletin, which serves as the main channel of communication with and between member organizations. In this bulletin it shares the work of member organizations, including information about NGO advocacy efforts and campaigns. It provides information to the membership on what is going on at the Centre, provides reviews of publications on issues being

dealt with by the Centre, and highlights key Caribbean policy issues.

CPDC also publishes "CARICLIPS", compilations of newspaper clippings from around the region on specific topics. It has also established a Documentation Resource File of publications available at the Centre along with some audiovisual materials. The Centre has begun to break down language barriers, by making its materials available in both Spanish and English.

CPDC actively organizes and facilitates meetings to discuss these various issues. It is organizing a major Alternatives Forum, to be held mid-1995, to address the theme "Sustainable Livelihoods for the Caribbean", bringing together community-level experience and macro analysis to build a more just and sustainable society. It actively facilitates the work of the Assembly of Caribbean People, and has been involved in preparations for and participation in various international conferences on population, youth and women.

Applying Tools

Tools which are particularly relevant to this scenario are found in Part II, Section F, "Strategizing for Change":

- **Building Alliances and Networks** (Tool #35) makes specific recommendations for the processes of networking and alliance building.

- **Assessing Risks** (Tool #36) addresses some of the political issues which may arise in the context of taking a more policy-oriented and change-oriented approach to development.

- **Accessing Geographic Information Systems** (Tool #37) introduces the development facilitator to a new cluster of tools which may be useful in clarifying important resource issues and development choices. It suggests situations in which it might be useful to gain access to this technology for generating information and clarifying complex decisions.

- **Using the Media** (Tool #38) contains ideas about ways in which communities and organizations may strengthen public information about their work through more effective use of the media or through their own media efforts.

- **Community Writing** (Tool #39) offers suggestions for agencies and development facilitators to work with community residents in developing proposals, resolutions, and other forms of written communication.
- **Documenting Processes** (Tool #40) can help community members, change

A Member Agency of the CPDC: Jamaica's Associaton of Development Agencies

The Association of Development Agencies (ADA) is a Jamaican forum for collective analysis, discussion, planning, advocacy and collaboration among the current 11 member organizations. Launched in 1985, ADA's mission is to promote people-centered, democratic, and sustainable development and social change through its educational programs, research, and analysis of national and global issues.

How do ADA and CPDC work together?

ADA was instrumental in the formation of the CPDC for the purpose of developing a regional Caribbean perspective to help support its work nationally, regionally, and globally. (Currently a representative from ADA serves on the CPDC Board.) ADA's treasurer is involved in developing plans for securing a stronger financial base for the Caribbean NGOs through the CPDC's NGO financial Committee. Thus, there is administrative linkage at the committee and board level of the CPDC from member agencies such as ADA.

ADA also works on specific programs for CPDC. For example, ADA is involved in setting the agenda for a major CPDC-sponsored Caribbean forum scheduled for July, 1995 in Barbados, entitled "Alternatives for Development." An ADA representative is chair of the planning committee and ADA is contributing to the agenda from its own work on debt and structural adjustment.

CPDC provides ADA not only with a regional perspective, but also with specific research and educational materials. For example, CPDC produced the Economic Education Resource Kit for the Caribbean which provides information for the member organizations and is useful for ADA advocacy work. CPDC also produced a book called Challenges in Caribbean Development which ADA uses in its educational and advocacy work and makes widely available in Jamaica. Other research carried out by the CPDC serves ADA, as well as its other member agencies, through its research, information sharing and networking opportunities.

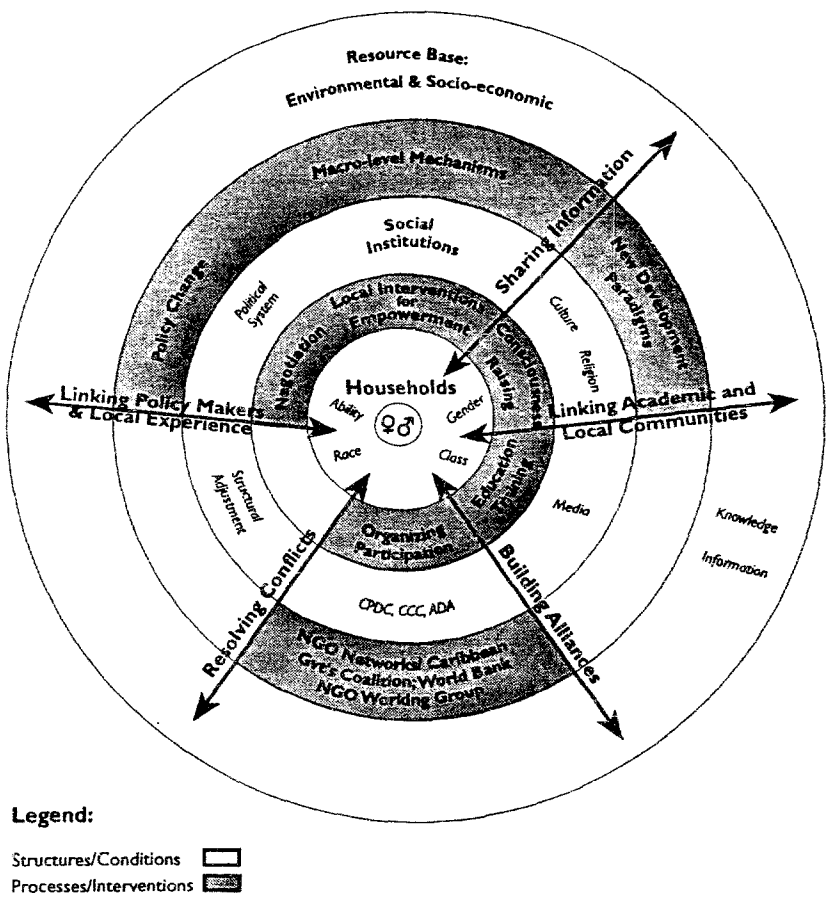
agents, and project organizers think about ways to document the impact on communities of specific policies and programs so that evidence is available to support policy recommendations.

Using the SEGA Model

The SEGA model emphasizes the relevance of building alliances and networks which provide disadvantaged groups with an increased voice in the social and political institutions that govern society. Organizations like ADA and CPDC are aware that alliances must span several levels. That is, at the local level, consciousness raising, organizing, education and training are important. At national, regional, and international levels, there is strength in combined voices building a shared viewpoint on common problems.

CPDC and ADA help each other carry out these objectives - the one operating regionally through its network, and the other nationally through its member associations. They are facilitating a process of linking external opportunities and local initiatives to bring about policy change. They are drawing upon and building their combined strengths for political and social action.

Figure 3.10. Applying the SEGA Model to Marginalized Groups in the Caribbean



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